

Table Of Contents

Applicant: IL Dept of Transportation
Application Number: HSR2010000139
Project Title High-Speed Intercity Passenger Rail (HSIPR) Program: Track 1a -
Projects (Final Design/Construction)CP Wadsworth,IL Bridge HSR Bridge
Replacement
Status: Submitted

Online Forms

1. SF-424 Application for Federal Assistance (Version 2.0)
2. SF-LLL Disclosure of Lobbying Activities

Additional Information to be Submitted

1. HSIPR Track 1a - FD/Construction Application Form (Required; Upload template as an attachment)
 - (Upload #1): CP Wadsworth Bridge Replacement HSR
2. Track 1a FD/Construction and Track 4 Supporting Form (General Info, Detailed Capital Cost Budget, Annual Capital Cost Budget, Project Schedule) (Required; Upload template as an attachment)
 - (Upload #2): CP Wadsworth Bridges Replacement Supporting Form
3. Preliminary Engineering (PE) Materials (Required; Upload your own document as an attachment)
 - (Upload #3): CP Wadsworth Brdg Replcmnt Map
 - (Upload #4): CP Wadsworth Brdg Replcmnt PE Schematic
4. NEPA Documentation (Required; Upload your own document as an attachment)
 - (Upload #5): CP Wadsworth Bridge Replacemt NEPA CE doc
5. Project Management Plan or Equivalent (Required; Upload your own document as an attachment)
 - (Filing Detail): See Project Mgmt Plan- Trk 1a app, Section E1
6. Stakeholder Agreements (Required; Upload your own document as an attachment)
 - (Upload #6): CP Wadsworth Brdg Stakeholder Agmt
7. Financial Plan or Equivalent (Required; Upload your own document as an attachment)
 - (Filing Detail): Financial Plan in Trk 1a app Section E-3
8. SF424C-Construction Budget (Required; Upload template as an attachment)
 - (Upload #7): CP Wadsworth Brdg SF 424C
9. SF424D Assurances-Construction (Required; Upload template as an attachment)
 - (Upload #8): CP Wadsworth Brdg SF 424D
10. Federal Railroad Administration Assurances & Certifications (Required; Upload template as an attachment)
 - (Upload #9): CP Wadsworth Bridge FRA Assurncs
11. Project NEPA Determination Document - Record of Decision, Finding of No Significant Impact, or CE Determination (Optional; Upload your own document as an attachment; Required prior

to award)

12. Comprehensive Executed Partnership Agreements (Optional; Upload your own document as an attachment; Required prior to award)
13. Map of Planned Investments (Optional; Upload your own document as an attachment)
14. Additional Supporting Documents (Optional; Upload your own document as an attachment)

Note: Upload document(s) printed in order after online forms.

Application for Federal Assistance SF-424

Version 02

* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application		* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision		* If Revision, select appropriate letter(s): <div style="border: 1px solid black; height: 15px; width: 100%;"></div> * Other (Specify) <div style="border: 1px solid black; height: 15px; width: 100%;"></div>
* 3. Date Received: <div style="border: 1px solid black; padding: 2px;">08/24/2009</div>		4. Applicant Identifier: <div style="border: 1px solid black; height: 15px; width: 100%;"></div>		
5a. Federal Entity Identifier: <div style="border: 1px solid black; height: 15px; width: 100%;"></div>		* 5b. Federal Award Identifier: <div style="border: 1px solid black; height: 15px; width: 100%;"></div>		
State Use Only:				
6. Date Received by State: <div style="border: 1px solid black; padding: 2px;">08/24/2009</div>		7. State Application Identifier: <div style="border: 1px solid black; height: 15px; width: 100%;"></div>		
8. APPLICANT INFORMATION:				
* a. Legal Name: <div style="border: 1px solid black; padding: 2px;">IL Dept of Transportation</div>				
* b. Employer/Taxpayer Identification Number (EIN/TIN): <div style="border: 1px solid black; padding: 2px;">37-1355033</div>		* c. Organizational DUNS: <div style="border: 1px solid black; padding: 2px;">133600754</div>		
d. Address:				
* Street1: <div style="border: 1px solid black; padding: 2px;">100 West Randolph</div>				
Street2: <div style="border: 1px solid black; height: 15px; width: 100%;"></div>				
* City: <div style="border: 1px solid black; padding: 2px;">Chicago</div>				
County: <div style="border: 1px solid black; height: 15px; width: 100%;"></div>				
* State: <div style="border: 1px solid black; padding: 2px;">Illinois</div>				
Province: <div style="border: 1px solid black; height: 15px; width: 100%;"></div>				
* Country: <div style="border: 1px solid black; padding: 2px;">UNITED STATES</div>				
* Zip / Postal Code: <div style="border: 1px solid black; padding: 2px;">60601-3229</div>				
e. Organizational Unit:				
Department Name: <div style="border: 1px solid black; padding: 2px;">Transportation</div>		Division Name: <div style="border: 1px solid black; padding: 2px;">DPIT</div>		
f. Name and contact information of person to be contacted on matters involving this application:				
Prefix: <div style="border: 1px solid black; padding: 2px;">Mr.</div>		* First Name: <div style="border: 1px solid black; padding: 2px;">George</div>		
Middle Name: <div style="border: 1px solid black; height: 15px; width: 100%;"></div>				
* Last Name: <div style="border: 1px solid black; padding: 2px;">Weber</div>				
Suffix: <div style="border: 1px solid black; height: 15px; width: 100%;"></div>				
Title: <div style="border: 1px solid black; padding: 2px;">Bureau Chief, Railroads</div>				
Organizational Affiliation: <div style="border: 1px solid black; padding: 2px;">Illinois Department of Transportation</div>				
* Telephone Number: <div style="border: 1px solid black; padding: 2px;">312-793-4222</div>		Fax Number: <div style="border: 1px solid black; padding: 2px;">312-793-1251</div>		
* Email: <div style="border: 1px solid black; padding: 2px;">george.weber@illinois.gov</div>				

Application for Federal Assistance SF-424

Version 02

9. Type of Applicant 1: Select Applicant Type:

State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

-Passenger and Freight Railroad Programs

11. Catalog of Federal Domestic Assistance Number:

20.319

CFDA Title:

High-Speed Rail/Intercity Passenger Rail Program

*** 12. Funding Opportunity Number:**

FR-HSR-09-002

* Title:

High-Speed Intercity Passenger Rail (HSIPR) Program: Track 1a - Projects (Final Design/Construction)

13. Competition Identification Number:

FR-HSR-09-002-010440

Title:

High-Speed Intercity Passenger Rail (HSIPR) Program: Track 1a - Projects (Final Design/Construction)

14. Areas Affected by Project (Cities, Counties, States, etc.):

Chicago, Glenview, Wadsworth, Northeast IL, Southeast WI, Milwaukee and Sturtevant, WI,

*** 15. Descriptive Title of Applicant's Project:**

High-Speed Intercity Passenger Rail (HSIPR) Program: Track 1a - Projects (Final Design/Construction)CP Wadsworth, IL
Bridge HSR Bridge Replacement

Attach supporting documents as specified in agency instructions.

Application for Federal Assistance SF-424

Version 02

16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal

* b. Applicant

* c. State

* d. Local

* e. Other

* f. Program Income

* g. TOTAL

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

☐ a. This application was made available to the State under the Executive Order 12372 Process for review on

☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.

☒ c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)**

☐ Yes ☒ No

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

☒ ** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: * First Name:

Middle Name:

* Last Name:

Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative: * Date Signed:

Application for Federal Assistance SF-424

Version 02

*** Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

Upload #1

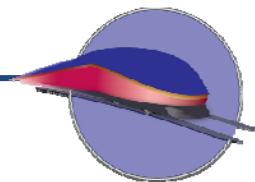
Applicant:	IL Dept of Transportation
Application Number:	HSR2010000139
Project Title	High-Speed Intercity Passenger Rail (HSIPR) Program: Track 1a - Projects (Final Design/Construction)CP Wadsworth,IL Bridge HSR Bridge Replacement
Status:	Submitted
Document Title:	CP Wadsworth Bridge Replacement HSR

Project Name: CP Wadsworth Illinois Bridges HSR Date of Submission: Aug 24 Version Number: 1

High-Speed Intercity Passenger Rail (HSIPR) Program

Application Form

Track 1a–Final Design (FD)/Construction & Track 4–FY 2009 Appropriations Projects



Welcome to the Track 1a Final Design (FD)/Construction and Track 4 Application for the Federal Railroad Administration's High-Speed Intercity Passenger Rail (HSIPR) Program. Applicants for Track 1a FD/Construction and/or Track 4 are required to submit this Application Form and Supporting Materials (forms and documents) as outlined in Section G of this application and in the HSIPR Guidance.

We appreciate your interest in the program and look forward to reviewing your application. If you have questions about the HSIPR program or this application, please contact us at HSIPR@dot.gov.

Instructions:

- Please complete the HSIPR Application electronically. See Section G for a complete list of the required application materials.
- In the space provided at the top of each section, please indicate the project name, date of submission (mm/dd/yy) and the application version number. The distinct Track 1a and/or Track 4 project name should be less than 40 characters and follow the following format: State abbreviation-route or corridor name-project title (e.g., HI-Fast Corridor-Track Work IV).
- For each question, enter the appropriate information in the designated gray box. If a question is not applicable to your FD/Construction Project, please indicate "N/A."
- Narrative questions should be answered concisely within the limitations indicated.
- Applicants must upload this completed application and all other application materials to www.GrantSolutions.gov by August 24, 2009 at 11:59pm EDT.
- Fiscal Year (FY) refers to the Federal Government's fiscal year (Oct. 1- Sept. 30).
- Please direct questions to: HSIPR@dot.gov

A. Point of Contact and Applicant Information

(1) Application Point of Contact (POC) Name: George Weber		POC Title: Bureau Chief, Illinois DOT		
Street Address: 100 West Randolph	City: Chicago	State: IL	Zip Code: 60601	Telephone Number: (312) 793 4222
Fax: (312) 793 - 1251		Email: george.weber@illinois.gov		

(2) Name of lead State or organization applying (only States may apply for Track 4): Illinois

(3) Name(s) of additional States and/or organizations applying in this group (if applicable): None

(4) Is this project for which you are applying for HSIPR funding related or linked to additional applications for HSIPR funding that may be submitted in this or subsequent rounds of funding? ☒ Yes ☐ No ☐ Maybe
If “yes” or “maybe,” provide the following information:

Program/Project Name	Lead Applicant	Track	Total HSIPR Funding Proposed (if known)	Status of Application
Wisconsin Higher Speed Passenger Rail	WISDOT	Track 1a - FD/Construction	\$	Will Apply
Wisconsin Trusdell Crossovers	WisDOT	Track 1a - FD/Construction	\$	Will Apply
		Track 1a - FD/Construction	\$	Applied
		Track 1a - FD/Construction	\$	Applied
		Track 1a - FD/Construction	\$	Applied
		Track 1a - FD/Construction	\$	Applied
		Track 1a - FD/Construction	\$	Applied
		Track 1a - FD/Construction	\$	Applied

Project Name: CP Wadsworth Illinois Bridges HSR Date of Submission: Aug 24 Version Number: 1

B. Project Overview

(1) FD/Construction Project Name: CP Wadsworth Bridges Higher Speed Rail
(2) Indicate the Track under which you are applying: Track 1a - FD/Construction <i>Please note if you are applying for Track 1a–FD/Construction and Track 4 <u>concurrently</u>, you must submit two separate versions of this application into www.GrantSolutions.gov (one for Track 1a –FD/Construction and one for Track 4–FY 2009 Appropriations Projects).</i>
(3) Indicate the activity(ies) for which you are applying (check both if applicable): <input checked="" type="checkbox"/> Final Design <input checked="" type="checkbox"/> Construction
(4) What are the anticipated start and end dates for the FD/Construction Project? (mm/yyyy) Start Date: Dec 2009 End Date: Nov 2011
(5) Total Cost of the FD/Construction Project (year of expenditure (YOE) Dollars*): \$ 8,021,420.00 Please provide proposed inflation assumptions and methodology, if applicable in the space below. Please limit response to 1,000 characters. 2% Of the total cost of the FD/Construction Project, how much would come from the FRA HSIPR Program: (YOE Dollars**) \$ 7,620,350 Indicate percentage of total cost to be covered by <u>matching funds</u> 5 % <i>Applications submitted under Track 4 require at least a 50 percent non-Federal match to be eligible for HSIPR funding.</i> <small>* Year-of-Expenditure (YOE) dollars are inflated from the base year. ** This is the amount for which the applicant is applying.</small>
(6) Project Overview Narrative. Please limit response to 5,000 characters. Provide an overview of the main features and characteristics of the FD/Construction Project, including: <ul style="list-style-type: none"> • The location of the project including name of rail line(s), State(s), and relevant jurisdiction(s) (include map if available in supporting documentation). • Identification of service(s) that would benefit from the project, the stations that would be served, and the State(s) where the service operates. • How the project was identified through a planning process and how the project is consistent with an overall plan for developing High-Speed Rail/Intercity Passenger Rail service. • How the project will fulfill a specific purpose and need in a cost-effective manner. • The project's independent utility. • The specific improvements contemplated. • Any use of railroad assets or rights-of-way, and potential use of public lands and property. • Other rail services, such as commuter rail and freight rail that will make use of, or otherwise be affected by, the project. <p>Two steel and concrete composite railway bridges are reaching life expiry and are being monitored for pending speed restriction imposition by the railway. The two bridges are located close together and the logistics are optimal to change both bridges at the same time. Both bridges need replacement to meet the reliability and speed needs of existing and future passenger rail on the Amtrak Chicago - Milwaukee corridor. The optimal timing of the construction is strategically sequenced to follow the commissioning of the Truesdel, Wisconsin crossover HSR initiative which is a Wisconsin ARRA Track 1A project. Timing the bridge replacements in this way will minimize disruption to the 16 daily Amtrak trains on the corridor..</p>

The bridges also need to be renewed to meet the needs of proposed higher speed rail passenger service. New abutments for the bridges need to be constructed. The existing spans must be removed and new spans dropped in place, all while the main line corridor remains in service. The plan is to stage the work by replacing the bridge spans one track at a time on the CP two track main line. In this way, there will always be a track open for Amtrak.

The project is located immediately North of Wadsworth Illinois at MP 46.78 and MP 47.27 of the Canadian Pacific Railway C&M Subdivision.

The project, immediately upon completion, will benefit the existing Amtrak Hiawatha Service between Chicago and Milwaukee (14 Trains per day) and the Amtrak Empire Builder Service Between Chicago, Milwaukee, St. Paul and Seattle-Portland (2 trains per day)

The investment will benefit the Amtrak intermodal stations at Chicago, Glenview, Sturtevant, General Mitchell Airport Milwaukee Intermodal in the states of Illinois and Wisconsin, as well as proposed new stations to be located west of Milwaukee that are part of the Wisconsin DOT Higher Speed Rail vision. The Amtrak Empire Builder, in addition, operates through Minnesota, North Dakota, Montana and Washington and so these States will benefit as well.

The project was identified with the Wisconsin Department of Transportation, Illinois Department of Transportation, Amtrak and CP as a priority within a comprehensive corridor review of Higher Speed Rail requirements between Chicago, Milwaukee and Watertown Wisconsin.

In the event that a speed restriction needs to be applied to the existing bridges, due to their condition, 16 daily Amtrak trains per day will be adversely affected. In turn, this adversely affects approximately 5,500 passenger rail travelers on these trains who will see some level of delay and reduced transit time due to the speed restriction. The investment has "independent utility" because it benefits the existing passenger trains and passengers immediately upon completion. The investment will have further value if and when higher speed rail is introduced on this corridor.

Furthermore, the project is strategically sequenced to follow the commising of the Truesdel Wisconsin crossover investment which is the subject of a separate ARRA Track 1A application by Wisconsin DOT. With the Truesdel crossover investment in place one track at a time at Wadsworth can be closed to install the new bridges on one track at a time without adversely affecting Amtrak performance during the bridge construction process. The Truesdel crossover will divide the long running time between existing crossovers which are currently 19 miles apart. Installation of the bridges without the Truesdel crossover in place would cause serious delay to Amtrak Service

The two Wadsworth bridges and their supporting abutments will be removed and replaced with new concrete and steel concrete ballasted deck spans on new supporting abutments. The proposed installation work method will be conducted within the existing railway right of way and within the footprint of the existing bridges so to avoid disturbance to water, and habitat or to the Van Patten Woods forest preserve which is adjacent to the bridge at MP 46.78. CP will not require use of any public land or public property for the project.

CP has in its possession a suitable prefabricated bridge span for the bridge at MP 46.78 which CP is willing to provide for the project as a non-cash contribution.

CP freight trains operate on the corridor and will incur delay during the passenger rail bridge replacement process. CP freight trains operate at lower speed than passenger trains and travel with less precise schedules than is required for passenger trains. Accordingly, freight will not be materially benefited from the new bridges nor if the impending bridge speed restrictions are avoided. Rather, the benefit of higher (79 mph) speed on the bridges accrues for the passenger trains.

(7) Status of Activities: Are any FD or Construction activities that are part of this planned investment underway or completed?

☐ Yes (Final Design) ☐ Yes (Construction) ☒ No

If “Yes,” please describe the activities that are underway or completed in the table below.¹ If more than three activities, please detail in Section F of this application.

Activity	Description	Completed? (If yes, check box)	Actual Initiation Date (mm/yyyy)	Actual or Anticipated Completion Date (mm/yyyy)
		<input type="checkbox"/>		
		<input type="checkbox"/>		
		<input type="checkbox"/>		

(8) Describe the project service objectives (check all that apply):

- | | |
|--|--|
| <input checked="" type="checkbox"/> Additional Service Frequencies | <input type="checkbox"/> Increased Average Speeds/Shorter Trip Times |
| <input checked="" type="checkbox"/> Improved Service Quality | <input type="checkbox"/> Other (Please Describe): |
| <input checked="" type="checkbox"/> Improved On-Time Performance on Existing Route | |

(9) Types of capital investments contemplated (check all that apply):

- | | |
|---|--|
| <input checked="" type="checkbox"/> Structures (bridges, tunnels, etc.) | <input type="checkbox"/> Rolling Stock Refurbishments |
| <input type="checkbox"/> Track Rehabilitation | <input type="checkbox"/> Rolling Stock Acquisition |
| <input type="checkbox"/> New or restored sidings/passing tracks | <input type="checkbox"/> Support Facilities (Yards, Shops, Admin. Buildings) |
| <input type="checkbox"/> Major Interlockings | <input type="checkbox"/> Grade Crossing Improvements |
| <input type="checkbox"/> Station(s) | <input type="checkbox"/> Electric Traction |
| <input type="checkbox"/> Communication, Signaling and Control | <input type="checkbox"/> Other (Please Describe): |

(10) Right-of-Way-Ownership. Provide information for all railroad right-of-way owners in the FD/Construction Project area. Where railroads currently share ownership, identify the primary owner. If more than three owners, please detail in Section F of this application.

Type of Railroad	Railroad Right-of-Way Owner	Route Miles	Track Miles	Status of Agreements to Implement Projects
Class 1 Freight	Canadian Pacific Railway	15	30	No Agreement, but Host Railr
Amtrak				Master Agreement in Place
Amtrak				Master Agreement in Place

¹ Please note: (a) requests for reimbursement of costs incurred prior to enactment of the relevant appropriations will not be considered and (b) supporting documentation for activities may also be required as noted in Appendix 2 of the HSIPR Guidance.

(11) Services. Provide information for all existing rail services within project boundaries (freight, commuter, and intercity passenger). <i>If more than three services, please detail in Section F of this application.</i>						
Type of Service	Name of Operator	Top Speed Within Project Boundaries		Number of Route-Miles Within Project Boundaries	Average Number of Daily One-Way Train Operations ² within Project Boundaries	Notes
		Passenger	Freight			
Freight	Canadian Pacific Railway	79	60	0.5	20	
Freight	Wisconsin and Southern Railroad		60	0.5	0	Infrequent use by WSOR
Intercity Passenger	Amtrak	79		0.5	16	
(12) Rolling Stock Type. Describe the fleet of locomotives, cars, self-powered cars, and/or trainsets that would be intended to provide the service upon completion of the project. <i>Please limit response to 1,000 characters.</i> Amtrak - Conventional diesel powered locomotives and coaches in the short term are proposed to be replaced by Amtrak Diesel locomotive hauling Talgo coaches in the long term						
(13) Intercity Passenger Rail Operator. Provide the status of agreements with partners that will operate the benefiting high-speed rail/intercity passenger rail service(s) upon completion of the planned investment (e.g., Amtrak). Name of Operating Partner: Amtrak Status of Agreement: No agreement, but partner supports project						
(14) Benefits to Other Types of Rail Service(s). Are benefits to non-intercity-passenger rail services (e.g., commuter, freight) foreseen? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If "Yes", provide further details in Section E, Question 2.						

² One daily round-trip train operation should be counted as two daily one-way train operations.

Project Name: CP Wadsworth Bridges Higher Speed Rail Date of Submission: Aug 24 Version Number: 1

C. Eligibility Information

(1) Select applicant type, as defined in Appendix 1.1 of the HSIPR Guidance (only States may apply for Track 4):

- ☒ State
☐ Amtrak

If one of the following, please append appropriate documentation as described in Section 4.3.1 of the HSIPR Guidance:

- ☐ Group of States
☐ Interstate Compact
☐ Public Agency established by one or more States
☐ Amtrak in cooperation with a State or States

(2) Establish Completion of Preliminary Engineering. In the space(s) below, please list the documents that establish completion of Preliminary Engineering for the project covered by this application. See HSIPR Guidance Appendix 2.2. If more than four references need to be listed, please place the additional information in Question F.

Document Name	Completion Date (mm/yyyy)
Bridge Reconstruction General Arrangement	08/2009

(3) Establish Completion of NEPA Documentation (the date document was issued and how documentation can be verified by FRA). The following are approved methods of NEPA verification (in order of FRA preference): 1) References to large EISs and EAs that FRA has previously issued, 2) Web link if NEPA document is posted to a website (including www.fra.gov), 3) Electronic copy of non-FRA documents attached with supporting documentation, or 4) a hard copy of non-FRA documents (large documents should not be scanned but should be submitted to FRA via an express delivery service). See HSIPR Guidance Section 1.6 and Appendix 3.2.9.

Documentation	Date (mm/yyyy)	Describe How Documentation Can be Verified
<input checked="" type="checkbox"/> Categorical Exclusion Documentation	08/2009	Site visit with CP representative and the Cook County Watershed District representative to describe construction process .
<input type="checkbox"/> Final Environmental Assessment		
<input type="checkbox"/> Final Environmental Impact Statement		

(4) Indicate if there is an environmental decision from FRA (date document was issued and web hyperlink if available).

Documentation	Date (mm/yyyy)	Hyperlink (if available)
<input type="checkbox"/> Categorical Exclusion Determination		
<input type="checkbox"/> Finding of No Significant Impact		
<input type="checkbox"/> Record of Decision		

Project Name: CP Wadsworth Illinois Bridges HSR Date of Submission: Aug 24 Version Number: 1

D. Public Return on Investment

(1) 1A. Transportation Benefits. *See HSIPR Guidance Section 5.1.1.1. Please limit response to 8,000 characters:*

How is the project anticipated to improve Intercity Passenger Rail (IPR) service? Describe the overall transportation benefits, including information on the following (*please provide a level of detail appropriate to the type of investment*):

- **IPR network development:** Describe improvements to intermodal connections and access to stations as well as actual and potential expansions to the IPR network that may result from the project (including opportunities for interoperability with other services).
- **IPR service performance improvements** (*also provide specific metrics in table 1B below*): Please describe service performance improvements directly related to the project, as well as a comparison with the existing service (*without project*). Describe relevant reliability improvements (e.g., increases in on-time performance, reduction in operating delays), reduced schedule trip times, increases in frequencies, aggregate travel time savings (resulting from reductions to both schedule time and delays, expressed in passenger-minutes), and other relevant performance improvements.
- **IPR service results** (*also provide specific metrics in table 1B below*): Describe relevant outcomes of the service improvement such as increases in ridership, passenger-miles, and other results in comparison with the existing service (*without project*).
- **Suggested supplementary information** (*only when applicable*):
 - **Transportation Safety:** Describe overall safety improvements that are anticipated to result from the FD/Construction Project, including railroad and highway-rail grade crossing safety benefits, and benefits resulting from the shifting of travel from other modes to safer IPR service.
 - **Cross-modal benefits from the FD/Construction Project, including benefits to:**
 - ✓ **Commuter Rail Services** – Service improvements and results (applying the same approach as for IPR above).
 - ✓ **Freight Rail Services** – Service performance improvements (e.g., increases in reliability and capacity), results (e.g. increases in ton-miles or car-miles of the benefiting freight services), and/or other congestion, capacity or safety benefits.
 - ✓ **Congestion Reduction/Alleviation in Other Modes; Delay or Avoidance of Planned Investments** – Aviation and highway congestion reduction/alleviation, and/or other capacity or safety benefits. Describe any planned investments in other modes of transportation that may be avoided or delayed due to the improvement to IPR service that will result from the project.

Two railway bridges are reaching the end of their service life and are risk being assigned with speed restrictions for train operation. Avoidance of the speed restrictions can be achieved by renewing the bridges with modern structures. Each passenger train that avoids a (say) speed restriction of 60 mph will save greater than one minute of delay. This is the equivalent of 92 person-hours per day saved, or assuming an eight hour productive day, the time of 11 full time equivalent people. This is a recurring benefit that will be enjoyed for the (say) 50 - 100 year life of the bridges.

Provision of a ballasted deck type of bridge is consistent with the requirements of future Higher Speed Rail. Provision of bridge spans instead of large culverts meets the needs of the Cook County Stormwater Commission for providing more than adequate water flow in the event of flooding of the nearby Des Plaines River.

14 Amtrak Hiawatha trains per day serve the Milwaukee Intermodal depot, Milwaukee Airport Intermodal Station, Sturtevant Station, Glenview Station and Chicago Union Station all of which feature emerging, strong intermodal connections for people. In addition, service to additional stations West of Milwaukee at Brookfield,

Oconomowoc, Watertown, and Madison Wisconsin are proposed in the future by the Wisconsin DOT higher speed passenger rail vision. 2 Amtrak Empire Builder trains serve Chicago, Glenview and Milwaukee

The improvement is consistent with and supports regional and national goals for Higher Speed passenger rail and reduced transit time and improved reliability for intercity passenger rail service.

1B. Operational and Ridership Benefits Metrics: In the table(s) below, provide information on the anticipated transportation benefits and ridership changes <u>projected to result from the project</u> . Please do not include benefits and changes that would occur even if the project is not implemented (for example, as a result of population or economic growth factors).				
Project/Program Metric	Actual— FY 2008 levels	Projected Totals by Year (Actual Levels <u>Plus</u> Project-Caused Changes Only)		“X” If N/A or Unsure
		First Full Year After Project Completion	Fifth Full Year After Project Completion	
Annual passenger-trips	750,000 (Hiawatha Service)	756,000 (Hiawatha Service, +6,000 if OTP increased to 96 %)	Unknown	<input type="checkbox"/>
Annual passenger-miles (millions)	59.773 (Hiawatha Service)	60.223 (Hiawatha Service, +0.450 if OTP increased to 96 %)	Unknown	<input type="checkbox"/>
Annual IPR seat-miles offered (millions)	154.986 (Hiawatha Service)	154.986 (Hiawatha Service)	154.986 (Hiawatha Service)	<input type="checkbox"/>
Average number of daily round train trip operations (typical weekday)	7 (Hiawatha Service), 1 (Empire Builder)	7 (Hiawatha Service), 1 (Empire Builder)	7 (Hiawatha Service), 1 (Empire Builder)	<input type="checkbox"/>
On-time performance (OTP) ³ – percent of trains on time at endpoint terminals	87 % (Hiawatha Service), 69 % (Empire Builder)	Goal of 96 % (Hiawatha Service), 85 % (Empire Builder)	Goal of 96 % (Hiawatha Service), 85 % (Empire Builder)	<input type="checkbox"/>
Average train operating delays: minutes of en-route delays per 10,000 train-miles ⁴	1,413 (Hiawatha Service, June 2009) Unknown (Empire Builder)	Unknown	Unknown	<input type="checkbox"/>
Top operating speed (mph)	79	79	79	<input type="checkbox"/>
Average scheduled operating speed (mph) (between endpoint terminals)	58 (Hiawatha Service), 51 (Empire Builder)	58 (Hiawatha Service), 51 (Empire Builder)	58 (Hiawatha Service), 51 (Empire Builder)	<input type="checkbox"/>
(2) 2A. Economic Recovery Benefits. This section is required for Track 1a, and optional for Track 4. Please limit response to 4,000 characters. For more information, see Section 5.1.1.2 of the HSIPR Guidance. Describe the contribution the FD/Construction Project is intended to make towards economic recovery and				

³ As calculated and reported by Amtrak according to its existing procedures and definitions. An example can be found at page E-7 of the May 2009 Monthly Performance Report at <http://www.amtrak.com/pdf/0905monthly.pdf>. ‘On-time’ is defined as within the distance-based thresholds originally issued by the Interstate Commerce Commission, which are: 0 to 250 miles and all Acela trains—10 minutes; 251 to 350 miles—15 minutes; 351 to 450 miles—20 minutes; 451 to 550 miles—25 minutes; and 551 or more miles—30 minutes.

⁴ As calculated by Amtrak according to its existing procedures and definitions. Useful background can be found at pages E-1 through E-6 of Amtrak’s May, 2009 Monthly Performance Report at <http://www.amtrak.com/pdf/0905monthly.pdf>

reinvestment, including information on the following:

- How the project will result in the creation and preservation of jobs, including number of onsite and other direct jobs (on a 2,080 work-hour per year, full-time equivalent basis), and timeline for achieving the anticipated job creation.
- How the different phases of the project will affect job creation (consider the construction period vs. operating period)
- How the project will create or preserve jobs or new or expanded business opportunities for populations in Economically Distressed Areas (consider the construction period vs. operating period)
- How the project will result in increases in efficiency by promoting technological advances.
- How the project represents an investment that will generate long-term economic benefits (including the timeline for achieving economic benefits and describe how the project was identified as a solution to a wider economic challenge)
- If applicable, how the project will help to avoid reductions in State-provided essential services.

The project will provide retention of jobs for railroad engineering personnel, signal maintainers, track maintenance and new work for contractors such as for steel fabrication, crane services and suppliers of materials. An estimate of work hours per year will be calculated as part of the final design.

The design activity will benefit engineering structural designers in offices. The ordering of materials will benefit workers in steel mills, fabrication shops and material handling activities. The construction will benefit workers in the local Chicago metropolitan area. This project will help re-energize America's Steel industry

The design of the modern concrete ballasted deck bridge replacing approximately 80 year old structures will demonstrate modern best practice in railway bridge design and installation technique.

The bridges are a key component of the passenger and freight rail network that serves the Chicago metropolitan area, surrounding regions and distant ports, agricultural and resource producing and consuming areas of America.

Passenger Rail is 18 times safer than travel by automobile on the public highways. This feature will improve safety for the travelling public because improved reliability of passenger train service will encourage people to travel by train instead of by automobile. In turn, road congestion and demand for further road expansion will be alleviated.

2B. Job Creation: Provide the following information about job creation through the life of the FD/Construction Project. Please consider construction, maintenance, and operations jobs.

	FD/ Construction Period	First full Year of Operations	Fifth full Year of Operations
Anticipated number of <u>annual</u> onsite and other direct jobs created (on a 2080 work-hour per year, full-time equivalent basis)	12 person years	0	0

(3) Environmental Benefits. *Please limit response to 4,000 characters.*

How will the FD/Construction project improve environmental quality, energy efficiency, and reduction in the Nation's dependence on oil? Address project-caused changes in the following:

- Any projected reductions in key emissions (CO₂, O₃, CO, PM_x, and NO_x) and their anticipated effects. Provide any available forecasts of emission reductions from a baseline of existing service for the first and fifth years of full operation (*provide supporting documentation if available*).
- Any expected energy and oil savings from traffic diversion from other modes and changes in the sources of energy for transportation. Provide any available information on changes from the baseline of the existing service for the first and fifth years of full operation (*provide supporting documentation if available*).
- Use of green methods and technologies. Address green building design, "Leadership in Environmental and Energy Design" building design standards, green manufacturing methods, energy efficient rail equipment, and/or other environmentally-friendly approaches.

The project will be constructed within an existing active rail corridor on top of the footprint of existing bridges. Environmental habitat impact will therefore be minimal or zero. The avoidance of speed restriction to the Amtrak passenger trains will result in savings of an estimated 15,000 gallons of diesel fuel per year. This fuel saving is due to not having to slow down to cross the bridges and then reaccelerate to speed.

An estimated 190 tons per year of greenhouse gas will be avoided.

(4) Livable Communities Project Benefits Narrative. *(For more information, see Section 5.1.1.3 of the HSIPR Guidance, Livable Communities). Please limit response to 3,000 characters.*

How will the FD/Construction Project foster Livable Communities? Address the following:

- Integration with existing high density, livable development: Provide specific examples, such as (a) central business districts with walking/biking and (b) public transportation distribution networks with transit-oriented development.
- Development of intermodal stations: Describe such features as direct transfers to other modes (both intercity passenger transport and local transit).

The replacement of the Wadsworth bridges will sustain reliable passenger service for the communities of Glenview IL and Chicago which are excellent examples of locations with emerging high quality liveable development with intermodal and pedestrian connections.

Project Name: CP Wadsworth Illinois Bridges HSR Date of Submission: Aug 24 Version Number: 1

E. Project Success Factors

(1) Project Management Approach and Applicant Qualifications Narrative: Please provide separate responses to each of the following. Additional information on project management is provided in Section 5.1.2.1 of the HSIPR Guidance, Project Management.

1A. Applicant qualifications. Please limit response to 2,000 characters.

Management experience: Does the applicant have experience in managing rail investment projects and managing projects of a similar size and scope to the one proposed in this application?

☒ Yes - Briefly describe experience (brief project(s) overview, dates)

☐ No- Briefly describe expected plan to build technical and managerial capacity; provide reference to Project Management Plan.

The project will be designed and built under the direction of the Canadian Pacific Railway. This company is well known for its skill at constructing bridges and similar large projects and delivering results on time and on budget. For example, CP constructed a similar crossover at Oakwood in 2004, on time and on budget, as part of the successful Milwaukee Airport Intermodal Station development.

1B. Describe the organizational approach for the different project stages included in this application (final design, construction), including the roles of staff, contractors and project stakeholders in implementing the project. For construction activities, provide relevant information on work forces, including railroad contractors and grantee contractors. Please limit response to 2,000 characters.

The railway will design the bridge using in-house staff or contracted consulting services. Railway environmental staff will liaise with government environmental representatives as may be needed. Railway public and Government Affairs staff will communicate for any needed public communications. CP will work with Amtrak, Illinois DOT and other stakeholders to implement a successful project. Construction on the railroad right of way will be coordinated by a railway site supervisor to ensure safety and to ensure that all FRA and other regulatory expectations are met or exceeded.

1C. Does the FD/Construction Project require approval by FRA of a waiver petition from a Federal railroad safety regulation? (Reference to, or discussion of, potential waiver petitions will not affect FRA's handling or disposition of such waiver petitions.)

☐ YES- If yes, explain and provide a timeline for obtaining the waivers

☒ NO

Please limit response to 1,500 characters.

1D. Provide a preliminary self-assessment of project uncertainties and mitigation strategies (consider funding risk, schedule and budget risk and stakeholder risk). Describe any areas in which the applicant could use technical assistance, best practices, advice or support from others, including FRA. Please limit response to 2,000 characters.

Weather and possible seasonal requirements to protect the natural environment and timing considerations will be designed. Ordering of long lead time materials should not be a problem. CP has the forces and knowledge to complete the project on schedule, after the award of ARRA funding

(2) Stakeholder Agreements Narratives. Additional information on Stakeholder Agreements is provided in Section 5.1.2.2 of the HSIPR Guidance.

Under each of the following categories, describe the applicant's progress in developing requisite agreements with key stakeholders. In addition to describing the current status of any such agreements, address the applicant's experience in framing and implementing similar agreements, as well as the specific topics pertaining to each category.

2A. Ownership Agreements – Describe how agreements will be finalized with railroad infrastructure owners listed in the "Right-of-Way Ownership" and "Service Description" tables in Section B. If appropriate, "owner(s)" may also include

operator(s) under trackage rights or lease agreements. Describe how the parties will agree on project design and scope, project benefits, project implementation, use of project property, project maintenance, scheduling, dispatching and operating slots, project ownership and disposition, statutory conditions and other essential topics. Summarize the status and substance of any ongoing or completed agreements. *Please limit response to 2,000 characters.*

The Illinois DOT and CP are sophisticated organizations which cooperate together on many fronts. No obstacles are foreseen in achieving any necessary agreements.

2B. Operating Agreements – Describe the status and contents of agreements with the intended operator(s) listed in “Services” table in the Project Overview section above. Address project benefits, operation and financial conditions, statutory conditions, and other relevant topics. *Please limit response to 2,000 characters.*

CP and Amtrak routinely liase in advance of track and bridge work projects. Obstacles involving statutory conditions are expected to be minimal or non existent.

2C. Selection of Operator – This question applies to Track 1a only. If the proposed operator railroad was not selected competitively, please provide a justification for its selection, including why the selected operator is most qualified, taking into account cost and other quantitative and qualitative factors, and why the selection of the proposed operator will not needlessly increase the cost of the project or of the operations that it enables or improves. *Please limit response to 1,000 characters.*

N/A

2D. Other Stakeholder Agreements – Provide relevant information on other stakeholder agreements including State and local governments. *Please limit response to 2,000 characters.*

Wisconsin DOT and Canadian Pacific will be framing agreements pertaining to this corridor North and South of the Wadsworth bridges

2E. Agreements with operators of other types of rail service – Describe any cost sharing agreements with operators of non-intercity passenger rail service (e.g., commuter, freight). *Please limit response to 2,000 characters.*

The Wisconsin and Southern Railway (WSOR) has trackage rights and operates infrequently on the route WSOR has signed the project schematic diagram that accompanies this ARRA 1a application.

(3) Financial Information.**3A. Capital Funding Sources.** Please provide the following information about your funding sources (if applicable).

Non FRA Funding Sources	New or Existing Funding Source?	Status of Funding ⁵	Type of Funds	Dollar Amount (YOE Dollars)	% of Project Cost	Describe Uploaded Supporting Documentation to Help FRA Verify Funding Source
State of IL	New	Planned		\$401,070	5	link to Public Act
	New	Committed				
	New	Committed				

3B. Capital Investment Financial Agreements: Describe any cost sharing contribution the applicant intends to make towards the FD/Construction Project, including its source, level of commitment, and agreement to cover cost increases or financial shortfalls. Describe the status and nature of any agreements between funding stakeholders that would provide for the applicant's proposed match, including the responsibilities and guarantees undertaken by the parties. Provide a brief description of any in-kind matches that are expected. *Please limit response to 2,000 characters.*

IDOT will provide a 5% matching contribution for the project which will come from a newly enacted capital investment program to be funded from various tax sources. The state has no agreement to cover cost increases or financial shortfalls related to the replacement of the bridges. CP expects to contribute a prefabricated bridge span which it has on hand in storage as a non-cash contribution to the project.

3C. Operating Financial Plan: Does the applicant expect that the State operating subsidy requirements for the benefiting intercity passenger rail service will significantly increase, **as a result of the project**, during the first five years after project completion?

☐ Yes ☒ No

If "Yes," please complete the table below (in YOE dollars) and answer the following questions. *Please limit response to 2,000 characters.*

(a) How did you project future State operating subsidies for the benefiting service(s); and

(b) What are the source, nature, and likelihood of the funding that will enable the State to finance the projected increases in annual operating subsidies due to the project?

⁵ Reference Notes: The following categories and definitions are applied to funding sources:

Committed: Committed sources are programmed capital funds that have all the necessary approvals (e.g. legislative referendum) to be used to fund the proposed project/program without any additional action. These capital funds have been formally programmed in the State Rail Plan and/or any related local, regional, or State Capital Investment Program CIP or appropriation. Examples include dedicated or approved tax revenues, State capital grants that have been approved by all required legislative bodies, cash reserves that have been dedicated to the proposed project/program, and additional debt capacity that requires no further approvals and has been dedicated by the sponsoring agency to the proposed project/program.

Budgeted: This category is for funds that have been budgeted and/or programmed for use on the proposed project but remain uncommitted, i.e., the funds have not yet received statutory approval. Examples include debt financing in an agency-adopted CIP that has yet to be committed in their near future. Funds will be classified as budgeted where available funding cannot be committed until the grant is executed, or due to the local practices outside of the project sponsor's control (e.g., the project development schedule extends beyond the State Rail Program period).

Planned: This category is for funds that are identified and have a reasonable chance of being committed, but are neither committed nor budgeted. Examples include proposed sources that require a scheduled referendum, requests for State/local capital grants, and proposed debt financing that has not yet been adopted in the agency's CIP.

Subsidy	Actual— FY 2009 levels (YOE Dollars)	Projected Totals by Year (Actual Levels <u>Plus</u> Project Caused Changes Only) (YOE Dollars)				
		First Full Year After Project Completion	Fifth Full Year After Project Completion			
State operating subsidy (total for all benefiting services)						
<p>(4) Financial Management Capacity and Capability – Provide audit results and describe applicant capability to absorb potential cost overruns, financial shortfalls, or financial responsibility for potential disposition requirements (include as supporting documentation as needed). Provide statutory references/ legal authority to build and oversee a rail capital investment. <i>Please limit response to 2,000 characters.</i></p> <p>Canadian Pacific Railway meets and exceeds all operating requirements of the FRA and other relevant parties with jurisdiction to conduct railway operations and construct operations on its lines in Illinois.</p>						
<p>(5) Timeliness of Project Completion – Provide the following information on the dates and duration of key activities, if applicable. <i>For more information, see Section 5.1.3.1 of the HSIPR Guidance, Timeliness of Project Completion.</i></p>						
Final Design Duration:	11 months					
Construction Duration:	5 months					
Rolling Stock Acquisition Duration:	0 months					
Rolling Stock Testing Duration:	0 months					
Service Operations Start date:	11/2011 (mm/yyyy)					
<p>(6) If applicable, describe how the project will promote domestic manufacturing, supply and other industries, including United States-based equipment manufacturing and supply industries. <i>Please limit response to 1,500 characters.</i></p> <p>The project will utilize and promote domestic steel production, fabrication and material supply and handling. It will rejuvenate railway bridge design and hopefully encourage young American Civil Engineers to enter and stay with the railway field.</p>						
<p>(7) If applicable, describe how the project will help develop US professional railroad engineering, operating, planning and management capacity needed for sustainable HSR/IPR development in the United States, including promotion of a diverse workforce. <i>Please limit response to 1,500 characters.</i></p> <p>The project will be an excellent demonstration of railway civil engineering and the logistics of replacing bridge structures while a rail line is in service. The skills learned in designing and constructing the two Wadsworth bridges will be valuable for the duration of the proposed long-term, state- sponsored higher speed rail initiative.</p>						

Project Name: CP Wadsworth Illinois Bridges HSR Date of Submission: Aug 24 Version Number: 1

F. Additional Information

(1) Please provide any additional information, comments, or clarifications and indicate the section and question number that you are addressing (e.g., Section E, Question 1B). This section is optional.

Project Name: CP Wadsworth Illinois Bridges HSR Date of Submission: Aug 24 Version Number: 1

G. Summary of Supporting Materials

Application Form	Required	Optional	Reference	Description	Format
<input checked="" type="checkbox"/> This Application Form	✓		HSIPR Guidance Section 4.3.3.3	This document to be submitted through <i>GrantSolutions</i> .	Form
Supporting Forms	Required	Optional	Reference	Description	Format
<input checked="" type="checkbox"/> General Info.	✓		HSIPR Guidance Section 4.3.5	This document to be submitted through <i>GrantSolutions</i> .	Form
<input checked="" type="checkbox"/> Detailed Capital Cost Budget	✓		HSIPR Guidance Section 4.3.5	This document to be submitted through <i>GrantSolutions</i> .	Form
<input checked="" type="checkbox"/> Annual Capital Cost Budget	✓		HSIPR Guidance Section 4.3.5	This document to be submitted through <i>GrantSolutions</i> .	Form
<input checked="" type="checkbox"/> Project Schedule	✓		HSIPR Guidance Section 4.3.5	This document to be submitted through <i>GrantSolutions</i> .	Form
Supporting Documents	Required	Optional	Reference	Description	Format
<input checked="" type="checkbox"/> Map of the Planned Investment		✓	Application Question B.6	Map of the Planned Investment location. Please upload into <i>GrantSolutions</i> .	None
Standard Forms	Required	Optional	Reference	Description	Format
<input checked="" type="checkbox"/> SF 424: Application for Federal Assistance	✓		HSIPR Guidance Section 4.3.3.3	Please submit through <i>GrantSolutions</i>	Form

<input checked="" type="checkbox"/> SF 424C: Budget Information-Construction	✓		HSIPR Guidance Section 4.3.3.3	Please submit through <i>GrantSolutions</i>	Form
<input checked="" type="checkbox"/> SF 424D: Assurance Construction	✓		HSIPR Guidance Section 4.3.3.3	Please submit through <i>GrantSolutions</i>	Form
<input checked="" type="checkbox"/> FRA Assurances Document	✓		HSIPR Guidance Section 4.3.3.3	May be obtained from FRA's website at http://www.fra.dot.gov/downloads/admin/assurancesandcertifications.pdf . The document should be signed by an authorized certifying official for the applicant. Submit through <i>GrantSolutions</i> .	Form

PRA Public Protection Statement: Public reporting burden for this information collection is estimated to average 32 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. According to the Paperwork Reduction Act of 1995, a federal agency may not conduct or sponsor, and a person is not required to respond to, nor shall a person be subject to a penalty for failure to comply with, a collection of information unless it displays a currently valid OMB control number. The valid OMB control number for this information collection is **2130-0583**.

Upload #2

Applicant:	IL Dept of Transportation
Application Number:	HSR2010000139
Project Title	High-Speed Intercity Passenger Rail (HSIPR) Program: Track 1a - Projects (Final Design/Construction)CP Wadsworth,IL Bridge HSR Bridge Replacement
Status:	Submitted
Document Title:	CP Wadsworth Bridges Replacement Supporting Form

[Return to the main page](#)

Instructions:

This form should provide a breakdown by year of the capital costs entered in the previous "Detailed Capital Cost Budget". The data you enter in this form should be drawn from budget estimates or analysis you have available for your project.

1. In the yellow cells in the "Base Year/ FY 2010 Dollars" table, enter the annual dollar figures for each cost category in Base Year/FY 10 Dollars. In the yellow cells of the "Year of Expenditure (YOE)" table, enter the actual cost of FY 2009 activities. In both tables as appropriate, the blue cells will auto-populate with Base Year/FY 10 Dollars if you entered assumed inflation rates in the "General Info" tab. If you did not enter assumed inflation rates, or you wish to make your own calculations, you may enter values in the light blue cells. Note: This form should reflect Federal Government Fiscal Years (FY) from October 1 through September 30.

2. In the "Base Year/ FY 2010 Dollars" table, the numbers in the "Double Check Total" column will auto-populate from the "Detailed Capital Cost Budget" in the previous tab. The numbers in the "Base Yr/FY 10 Total" column will be the sum of the annual data entered to the left. The two columns should match for each Standard Cost Category. If the entries in the "Double Check Total" column are red, the Base Year/FY 10 values you entered in the previous tab do not match the values entered in this tab.

3. The light blue Year of Expenditure (YOE) information will auto-populate if you entered assumed inflation rates in the "General Info" tab. If you did not enter assumed inflation rates, or you wish to make your own calculations, you may enter values in the light blue cells.

Note: Track 1a - FD/Construction projects must be completed within 2 years of obligation of the funds.

Project Name:	CP Wadsworth Bridges Higher Speed Rail
Track:	Track 1A

BASE YEAR/ FY 2010 DOLLARS	2009	2010	2011	2012	2013	2014	2015	Base Yr /FY 10 Total*	Double Check Total
10 TRACK STRUCTURES & TRACK	\$ -	\$ 3,971,000.00	\$ 3,971,000.00					\$ 7,942,000.00	\$ 7,942,000.00
20 STATIONS, TERMINALS, INTERMODAL	\$ -							\$ -	\$ -
30 SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS	\$ -							\$ -	\$ -
40 SITEWORK, RIGHT OF WAY, LAND, EXISTING IMPROVEMENTS	\$ -							\$ -	\$ -
50 COMMUNICATIONS & SIGNALING	\$ -							\$ -	\$ -
60 ELECTRIC TRACTION	\$ -							\$ -	\$ -
70 VEHICLES	\$ -							\$ -	\$ -
80 PROFESSIONAL SERVICES (applies to Cats. 10-60)	\$ -							\$ -	\$ -
90 UNALLOCATED CONTINGENCY	\$ -							\$ -	\$ -
100 FINANCE CHARGES	\$ -							\$ -	\$ -
Total Project Cost (10-100)	\$ -	\$ 3,971,000.00	\$ 3,971,000.00	\$ -	\$ -	\$ -	\$ -	\$ 7,942,000.00	\$ 7,942,000.00

YEAR OF EXPENDITURE (YOE) DOLLARS	2009	2010	2011	2012	2013	2014	2015	YOE Total**
10 TRACK STRUCTURES & TRACK		\$ 3,971,000.00	\$ 4,050,420.00	\$ -	\$ -	\$ -	\$ -	\$ 8,021,420.00
20 STATIONS, TERMINALS, INTERMODAL		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
30 SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
40 SITEWORK, RIGHT OF WAY, LAND, EXISTING IMPROVEMENTS		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
50 COMMUNICATIONS & SIGNALING		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
60 ELECTRIC TRACTION		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
70 VEHICLES		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
80 PROFESSIONAL SERVICES (applies to Cats. 10-60)		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
90 UNALLOCATED CONTINGENCY		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
100 FINANCE CHARGES		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Total Project Cost (10-100)	\$ -	\$ 3,971,000.00	\$ 4,050,420.00	\$ -	\$ -	\$ -	\$ -	\$ 8,021,420.00

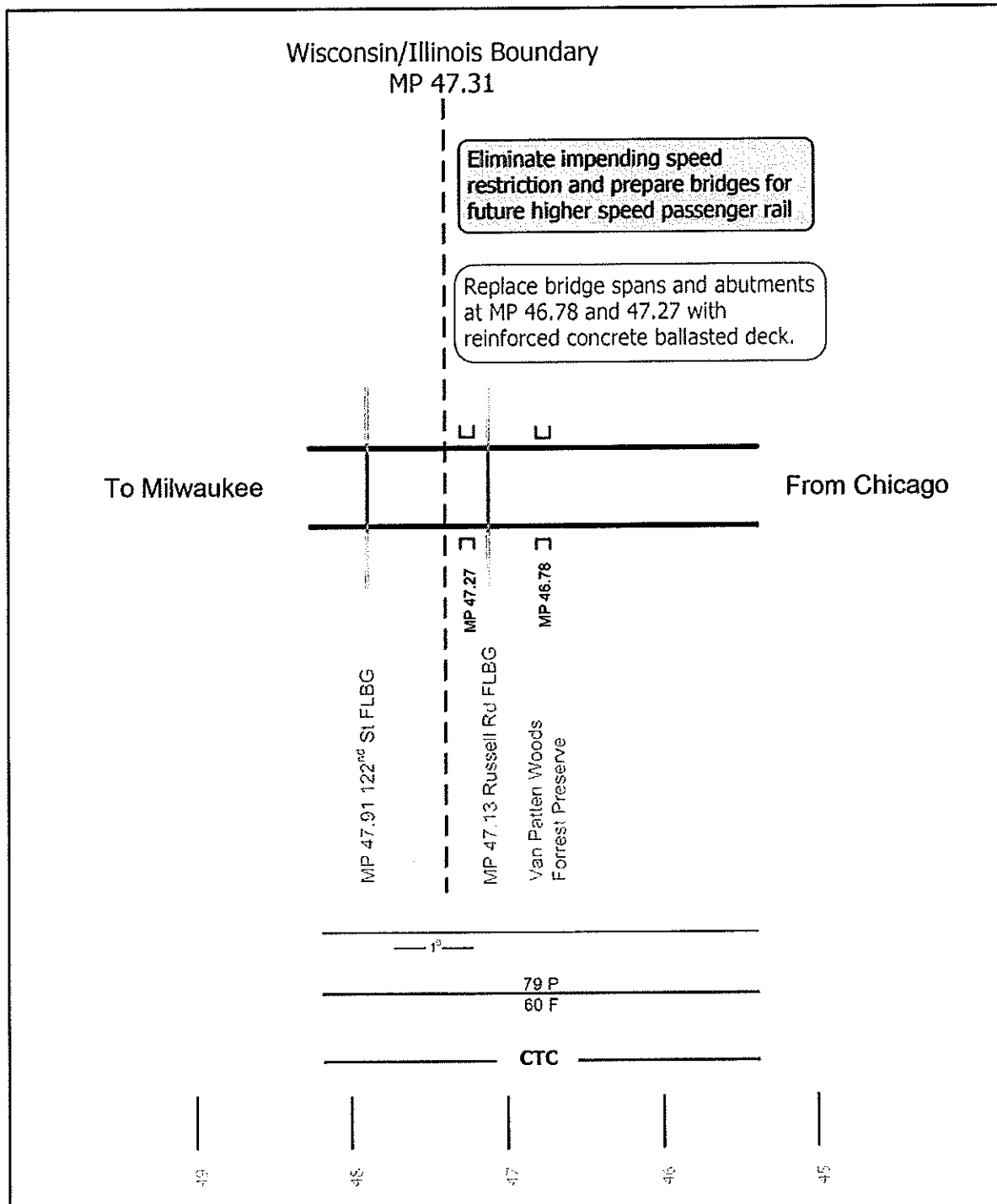
* For the purpose of this application, base year dollars are considered FY 2010 dollars.

**Year-of-Expenditure(YOE) dollars are inflation-adjusted Base Year dollars. Applicants may determine their own inflation rate and enter it on the "General Info" tab. Applicants should also explain their proposed inflation assumptions (and methodology, if applicable) in the Application Form, Section B, Project Overview, Question (5).

Upload #3

Applicant: IL Dept of Transportation
Application Number: HSR2010000139
Project Title High-Speed Intercity Passenger Rail (HSIPR) Program: Track 1a -
Projects (Final Design/Construction)CP Wadsworth,IL Bridge HSR Bridge
Replacement
Status: Submitted
Document Title: CP Wadsworth Brdg Replcmnt Map

Canadian Pacific C&M Subdivision near Wadsworth, Illinois Renewal of Two Bridges for Existing Passenger Rail Speed Preservation and Future Higher Speed Rail



Walter E. Sahr 8/14/09
Wisconsin and Southern Railroad

Illinois Department of Transportation

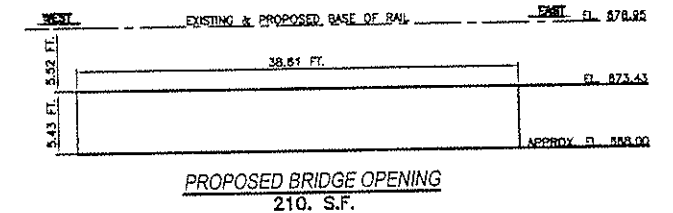
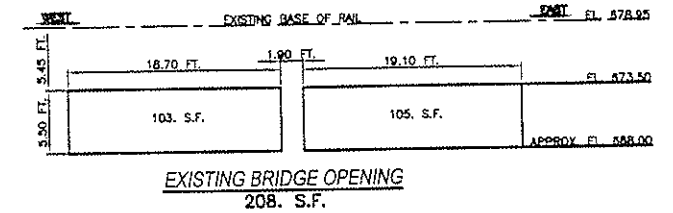
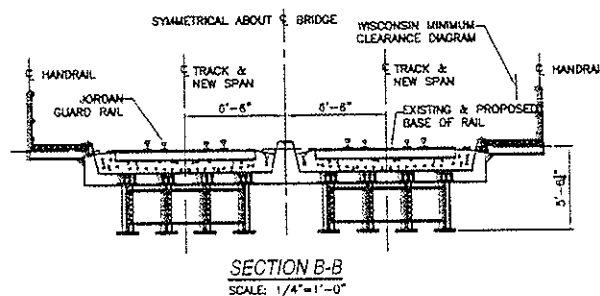
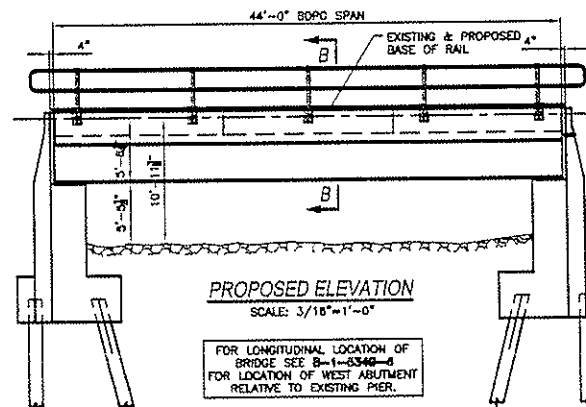
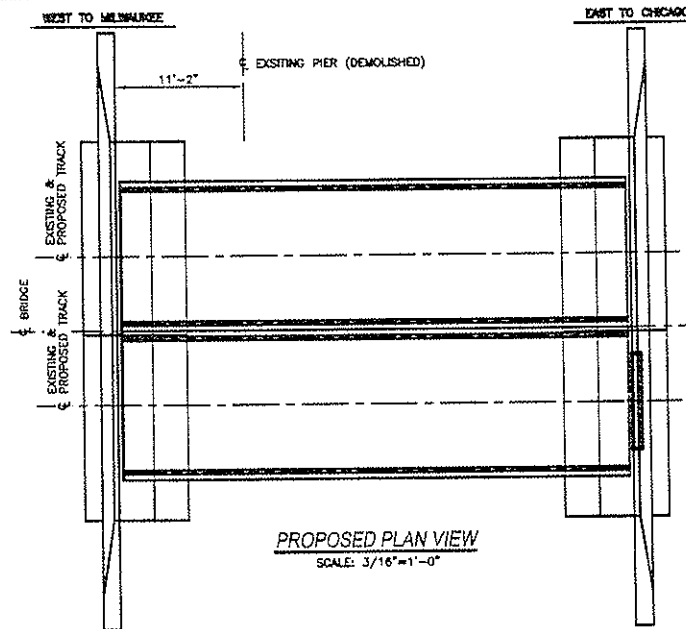
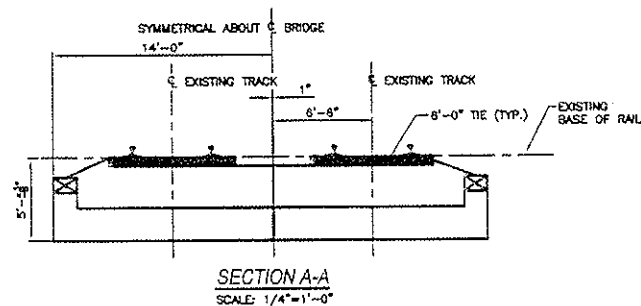
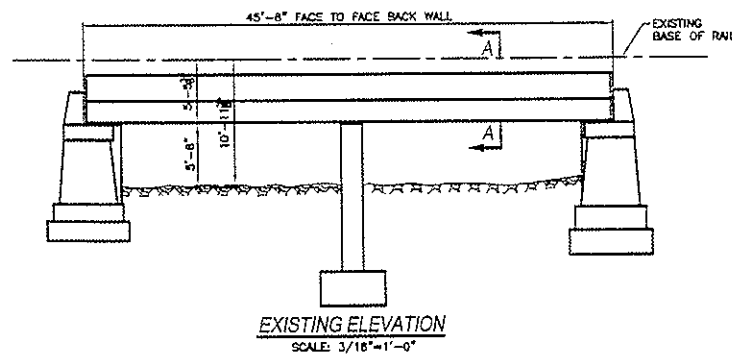
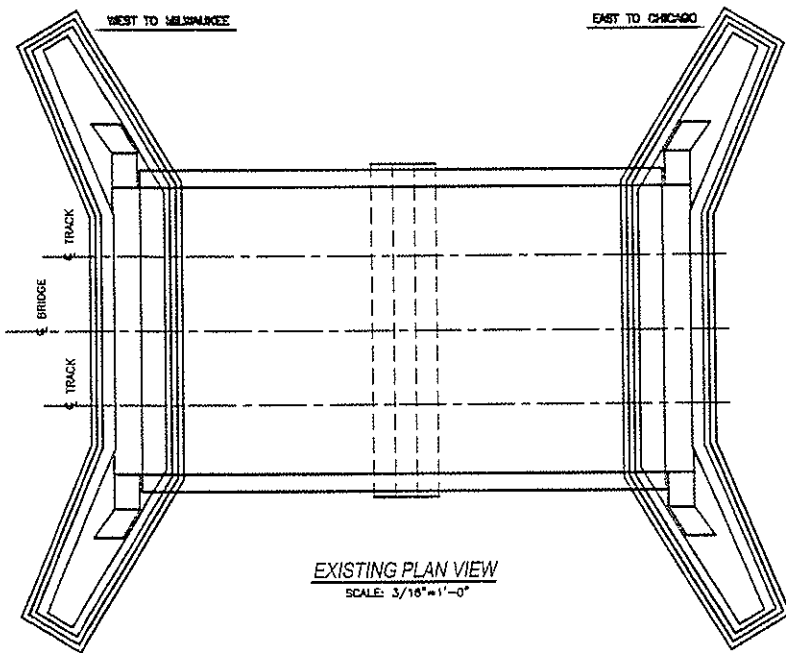
Don Horn
DIRECTOR PASSENGER RAIL, AUGUST 13, 2009

Amtrak

Canadian Pacific

Upload #4

Applicant:	IL Dept of Transportation
Application Number:	HSR2010000139
Project Title	High-Speed Intercity Passenger Rail (HSIPR) Program: Track 1a - Projects (Final Design/Construction)CP Wadsworth,IL Bridge HSR Bridge Replacement
Status:	Submitted
Document Title:	CP Wadsworth Brdg Replcmnt PE Schematic



LIST OF DRAWINGS:

DRAWING NO.	DESCRIPTION
B-1-5349-1	RECONSTRUCTION OF BRIDGE GENERAL ARRANGEMENT
B-1-5349-2	44'-0" STEEL BDOP SPAN STEEL WORK
B-1-5349-3	44'-0" STEEL BDOP SPAN DECK SLAB
B-1-5349-4	WALKWAY DETAILS SHEET 1 OF 2
B-1-5349-5	WALKWAY DETAILS SHEET 2 OF 2
B-1-5349-6	BRIDGE RECONSTRUCTION WEST ABUTMENT
B-1-5349-7	BRIDGE RECONSTRUCTION EAST ABUTMENT AND CONSTRUCTION DETAILS
B-14-59 & 60	E60 TREATED TIMBER TRESTLE

REFERENCE DOCUMENTS:

DRAWING NO.	DESCRIPTION	DATE
A 29A, P 11, 5288-0	REPORT OF MASONRY, AS BUILT	1893
A 127B, P 49, C2851	REPLACE USING 19FT. SPANS	1908
	GEOTECHNICAL ENGINEERING ANALYSIS BY STS/AEDOM	2008
	HYDRAULIC EVALUATION BY STS/AEDOM	2008

No.	DATE	REVISION	BY
1001	08	SIGNED AND ISSUED	

CANADIAN PACIFIC
Engineering Services - Structures & Projects
STRUCTURES PLANNING & DESIGN
CALGARY, ALBERTA

BR. 46.78 C&M SUB. CHICAGO SERVICE AREA

**BRIDGE RECONSTRUCTION
GENERAL ARRANGEMENT**

DRG. BY: SD CHK. BY: JAW OFFICE FILE: X8-C&M-46.78
SCALE: AS SHOWN

B-1-5349-1

Upload #5

Applicant: IL Dept of Transportation
Application Number: HSR2010000139
Project Title High-Speed Intercity Passenger Rail (HSIPR) Program: Track 1a -
Projects (Final Design/Construction)CP Wadsworth,IL Bridge HSR Bridge
Replacement
Status: Submitted
Document Title: CP Wadsworth Bridge Replacemt NEPA CE doc

Federal Railroad Administration (FRA) CATEGORICAL EXCLUSION WORKSHEET

Note: The purpose of this worksheet is to assist proposal sponsors in gathering and organizing materials for environmental analysis required under the National Environmental Policy Act (NEPA), particularly for proposals, which may qualify as Categorical Exclusions and to assist the FRA in evaluating requests from project sponsors for categorical exclusion determinations. Categorical Exclusions are categories of actions (i.e. types of projects) that the FRA has determined, based on its experience, typically do not individually or cumulatively have a significant effect on the human environment and which generally do not require the preparation of either an environmental impact statement or an environmental assessment.

Submission of the worksheet by itself does not meet NEPA requirements. FRA must concur in writing with the proposal sponsor's Categorical Exclusion recommendation for NEPA requirements to be met. Please complete this worksheet using compatible word processing software and submit and transmit the completed form in electronic format.

<i>For Agency Use</i>	<i>Date Received:</i>
<i>Reviewed By:</i> <i>Date:</i>	<i>Recommendation for action:</i> <input type="checkbox"/> Accept <input type="checkbox"/> Return for Revisions <input type="checkbox"/> Not Eligible
<i>Comments:</i>	
<i>Concurrence by Counsel:</i> <input type="checkbox"/> Accept Recommendation <input type="checkbox"/> Return with Comments	<i>Reviewed By:</i> <i>Date:</i>
<i>Comments:</i>	
<i>Concurrence by Approving Official:</i>	<i>Date:</i>

I. PROPOSAL DESCRIPTION

Proposal Sponsor George Weber, Illinois DOT	Date Submitted August 24 2009	FRA Identification Number (if any)
Proposal Title CP Wadsworth Illinois Bridges for Passenger Reliability and HSR		
Location (Include Street Address, City or Township, County, and State) CP Milepost 46.78-47.25, Wadsworth, Lake County, Illinois.		
Contact Person George Weber	Phone 312-793-4222	E-mail Address George.Weber@Illinois.gov
<p>Note: Fully describe the proposal including specifics that may be of environmental concern such as: widening an embankment to stabilize roadbed; repairing or replacing bridge piers foundations, including adding rip-rap in a waterway; earthwork and altering natural (existing) drainage patterns and creating new water discharge; contaminated water needing treatment; building a new or adding on to a shop building; fueling or collection of fuel or oil and contaminated water; building or extending a siding; and building or adding on to a yard.</p>		

Description of Proposal

Replace two railway bridges north of Wadsworth, Illinois at mileposts 46.78 and 47.27 of the C&M Subdivision between Chicago and Milwaukee, which is an FRA designated high speed rail route. The two bridges are reaching the end of their service life and nearing the stage, based on periodic inspection, when a speed restriction will need to be placed. The speed restriction will negatively affect the performance of 16 Amtrak passenger trains operating on the corridor and render the bridges completely unsuitable for future higher speed passenger trains. The current authorized track speed for passenger trains at this location is 79 mph. If a speed restriction of 60 mph is applied, approximately 30,000 gallons of additional fuel will be used by Amtrak and an estimated 190 tons of increased emissions be produced. If the restriction applied lower speed than 60 then the penalty of increased transit time, increased Amtrak diesel fuel usage and increased emissions will be even greater.

Purpose and Need of Proposal

The investment will contribute to improved passenger train reliability and cost saving for Amtrak as well as improved air quality for the region.

The Chicago - Milwaukee Amtrak service is fulfilling an increasing role in shifting travel from private automobile to travel by Amtrak on this corridor. Road congestion on adjacent public highways and high gasoline prices are reasons why motorists are making the change and need the transportation choice of the train. Amtrak passenger usage on this corridor grew 28% from 2007 to 2008.

II. NEPA CLASS OF ACTION

Answer the following questions to determine the proposal's potential class of action.

A. Will the proposal substantially impact the natural, social and / or human environment?

☐ YES (Contact FRA)

☒ NO (Continue)

Actions that will significantly impact the environment require preparation of an Environmental Impact Statement. These proposals typically include construction or extension of rail lines or rail facilities including passenger, high speed, or freight rail activities.

B. Is the significance of the proposal's social, economic or environmental impacts unknown?

☐ YES (Contact FRA)

☒ NO (Continue)

C. Does Section 4(f) of the Department of Transportation Act apply? (i.e. proposal requires the use of publicly owned land of a public park, recreation area, or wildlife and waterfowl refuge of national, State, or local significance, or land of an historic site of national, State, or local significance, as determined by the Federal, State, or local officials having jurisdiction over the park, area, refuge, or site.)

☐ YES (Contact FRA)

☒ NO (Continue)

D. Is the proposal likely to require detailed evaluation of more than a few potential impacts?

☐ YES (Contact FRA)

☒ NO (Continue)

E. Is the proposal likely to generate intense public discussion or concern, even though it may be limited to a relatively small subset of the community?

☐ YES (Contact FRA)

☒ NO (Continue)

F. Is the proposal inconsistent with any Federal, State, or local law, regulation, ordinance, or Judicial or administrative determination relating to environmental protection?

☐ YES (Contact FRA)

☒ NO (Continue)

G. Is the proposal an integral part of a program of current Federally supported actions which, when considered separately, would not be classified as major actions, but when considered together may result in substantial impacts?

☐ YES (Contact FRA)

☒ NO (Continue)

If the answer to any of the questions B through G is "YES", contact the FRA to determine whether the proposal requires preparation of an Environmental Assessment.

H. Is the proposal consistent with one of the following potential Categorical Exclusions?

FRA Procedures for Considering Environmental Impacts, 64 FR 28545 (May 26, 1999)

☒ YES (Mark category and continue as indicated)

☐ NO (Contact FRA)

- ☐ Financial assistance or procurements solely for planning or design activities that do not commit the FRA or its applicants to a particular course of action affecting the environment. *(stop and submit to FRA)*
- ☐ State rail assistance grants for acquisition. *(Continue to Part III)*
- ☐ Operating assistance to a railroad to continue existing service or to increase service to meet demand, where the assistance will not result in a change in the effect on the environment. *(stop and submit to FRA)*
- ☐ Acquisition of existing railroad equipment, track and bridge structures, electrification, communication, signaling or security facilities, stations, maintenance of way and maintenance of equipment bases, and other existing railroad facilities or the right to use such facilities, for the purpose of conducting operations of a nature and at a level of use similar to those presently or previously existing on the subject properties. *(Complete Part III, Sections H, I, U, & V and submit to FRA)*
- ☐ Research, development and/or demonstration of advances in signal, communication and/or train control systems on existing rail lines provided that such research, development and/or demonstrations do not require the acquisition of substantial amounts of right-of-way, and do not substantially alter the traffic density [or operational] characteristics of the existing rail line. *(Continue to Part III)*
- ☐ Temporary replacement of an essential rail facility if repairs are commenced immediately after the occurrence of a natural disaster or catastrophic failure. *(Continue to Part III)*
- ☐ Changes in plans for a proposal for which an environmental document has been prepared, where the changes would not alter the environmental impacts of the action. *(Continue to Part III describing the full consequences of the changes only)*
- ☐ Maintenance of: existing railroad equipment; track and bridge structures; electrification, communication, signaling, or security facilities; stations; maintenance-of-way and maintenance-of-equipment bases; and other existing railroad-related facilities. ("Maintenance" means work, normally provided on a periodic basis, which does not change the existing character of the facility, and may include work characterized by other terms under specific FRA programs) *(Continue to Part III)*
- ☐ Financial assistance for the construction of minor loading and unloading facilities, provided that proposals are consistent with local zoning, do not involve the acquisition of a significant amount of land, and do not significantly alter the traffic density characteristics of existing rail or highway facilities. *(Continue to Part III)*
- ☐ Minor rail line additions including construction of side tracks, passing tracks, crossovers, short connections between existing rail lines, and new tracks within existing rail yards, provided that such additions are consistent with existing zoning, do not involve acquisition of a significant amount of right of way, and do not substantially alter the traffic density characteristics of the existing rail lines or rail facilities. *(Continue to Part III)*
- ☐ Improvements to existing facilities to service, inspect, or maintain rail passenger equipment, including expansion of existing buildings, the construction of new buildings and outdoor facilities, and the reconfiguration of yard tracks. *(Continue to Part III)*
- ☐ Environmental remediation through improvements to existing and former railroad track, infrastructure, stations and facilities, for the purpose of preventing or correcting environmental pollution of soil, air or water. *(Continue to Part III)*
- ☒ Replacement, reconstruction, or rehabilitation of an existing railroad bridge, including replacement with a culvert, that does not require the acquisition of a significant amount of right-of-way. *(Continue to Part III)*

III. PROPOSAL INFORMATION FOR CATEGORICAL EXCLUSIONS

Complete Part III unless indicated otherwise in Part II and submit to FRA.

For work to fixed facilities, maps displaying the following, as applicable, are required to be attached for FRA review:

- Proposal vicinity
- Proposal Site Plan indicating the USGS Quadrangle and Section
- Other Information as necessary to complete Part III

A. Describe how the proposal satisfies the purpose and need identified in Part I:

The two existing railway bridges are approximately 80 years old and are reaching the end of their service life and are no longer suited to meet the higher speeds that are needed for existing and proposed higher speed passenger rail. The bridges are at risk of speed reduction because of their age and condition. A speed restriction applied to the bridges due to their age and condition will work against federal and state goals to achieve energy conservation, improved air quality and to change travel habits away from use of the private automobile by providing a reliable and timely alternative of passenger rail.

B. Location & Land Use: *For fixed facilities, attach a map or diagram, at an appropriate scale, identifying the location of the proposal site and if applicable, the surrounding land uses and zoning of the site and surrounding properties. If the proposal would require many pages of maps or diagrams, include only a location map and contact FRA to determine if additional information is required. A map or diagram that identifies locations of critical resource areas, wetlands, potential historic sites, or sensitive noise receptors such as schools, hospitals, and residences should be included if there is the potential for impacts to these resources.*

Briefly describe the existing land use of the proposal site and surrounding properties and resources.

The bridges are located within an existing active rail corridor. Existing land beside the bridge at mile 46.27 is a forest preserve. Land beside the bridge at mile 47.28 is undeveloped agricultural.

C. Historic Resources: *If any cultural, historic, or archaeological resources are located in the immediate vicinity of the proposal, check and describe the resource(s) and then describe any potential effect of the proposal on the resource(s). Consultation with the SHPO is necessary when these resources are potentially affected.*

☐ Cultural: None

☐ Historical: None

☐ Archaeological: None

Has consultation with the State Historic Preservation Officer occurred? If so, describe and attach relevant correspondence.

☐ Consultation with SHPO: The two bridges are a common concrete and steel composite design and have no historical or architectural interest. No cultural or historical survey is needed because the new bridges will be installed on the footprint of the same disturbed site as the existing bridges. No State Historical society review is required.

D. Public Notification: *Briefly describe any public outreach efforts undertaken on behalf of the proposal, if any. Indicate opportunities the public has had to comment on the proposal (e.g., Board meetings, open houses, special hearings).*

None is needed for replacement of existing railway bridges

Indicate prominent concerns expressed by agencies or the public regarding the proposal, if any.

none

E. Transportation: *Would the proposal have a detrimental effect on other railway operations or impact road traffic, or increase demand for parking?*

☒ No (continue) ☐ Yes, describe potential transportation, traffic, and parking impacts, and address capacity constraints and potential impacts to existing railroad and highway operations. Include maps or diagrams indicating any impacts and any proposed modifications to existing railways or roadways or parking facilities. Also, summarize any consultation that has occurred with other railroads or highway authorities whose operations this project will impact.

None

F. Noise and Vibration: *Are permanent noise or vibration impacts likely?*

☒ No (continue) ☐ Yes, describe how the proposal will involve noise impacts. If the proposal will result in a change in noise sources (number or speed of trains, stationary sources, etc.) and sensitive receptors (residences, hospitals, schools, parks, etc.) are present, apply screening distances for noise and vibration assessment found in FRA noise impact assessment guidance manual (and FTA's manual as needed) and compare proposal location with nearest receptor(s). If the screening distance is not achieved, attach a "General Noise and/or Vibration Assessment."

Noise ☐ Vibration ☐

As a result of the general assessment(s) are there noise or vibration impacts?

☐ No (continue) ☐ Yes (Describe and provide map identifying sensitive receptors):

G. Air Quality: *Does the proposal have the potential to increase concentrations of ambient criteria pollutants to levels that exceed the NAAQS, lead to the establishment of a new non-attainment area, or delay achievement of attainment?*

☒ No (continue) ☐ Yes, attach an emissions analysis for General Conformity regarding Carbon Monoxide (CO), Ozone (O₃), Particulate Matter (PM₁₀), Nitrous Oxides (NO_x), and Carbon Dioxide (CO₂), and include a hot spot analysis if indicated. Describe any substantial impacts from the proposal.

Proposal will reduce diesel emmissions by estimated 190 tons of GHG per year

Is the proposal located in a Non-Attainment or Maintenance area?

☐ No (continue) ☐ Yes, for which of the following pollutants:

☐ Carbon Monoxide (CO) ☐ Ozone (O₃) ☐ Particulate Matter (PM₁₀)

H. Hazardous Materials: *Does the proposal involve the use or handling of hazardous materials?*

☒ No (continue) ☐ Yes, describe use and measures that will mitigate any potential for release and contamination.

I. Hazardous Waste: *If the proposal site is in a developed area or was previously developed or used for industrial or agricultural production, is it likely that hazardous materials will be encountered by undertaking the proposal?* (Prior to acquiring land or a facility with FRA funds, FRA must be consulted regarding the potential presence of hazardous materials)

☒ No, explain why not and describe the steps taken to determine that hazardous materials are not present on the proposal site and then continue to question I.

Replacement of existing railway bridges within railway right of way will not involve disturbance of land

☐ Yes, complete a Phase I site assessment and attach.

If a Phase I survey was completed, is a Phase II site assessment recommended?

☒ No (continue) ☐ Yes, describe the mitigation and clean-up measures that will be taken to remediate any hazardous materials present and what steps will be taken to ensure that the local community is protected from contamination during construction and operation of the proposal.

J. Property Acquisition: *Is property acquisition needed for the proposal?*

☒ No (continue) ☐ Yes, indicate whether the acquisition will result in relocation of businesses or individuals. **Note:** *To ensure eligibility for Federal participation, grantees may not acquire property with either local matching or Federal funds prior to completing the NEPA process and receiving written FRA concurrence in both the NEPA recommendation and property appraisals.*

K. Community Disruption and Environmental Justice: *Does the proposal present potentially disruptive impacts to adjacent communities?*

☒ No (continue) ☐ Yes, provide a socio-economic profile of the affected community. Indicate whether the proposal will have a disproportionately high and adverse effect on minority or low-income populations. Describe any potential adverse effects and any community resources likely to be impacted. Describe outreach efforts targeted specifically at minority or low-income populations.

L. Impacts On Wetlands: *Does the proposal temporarily or permanently impact wetlands or require alterations to streams or waterways?*

☒ No (continue) ☐ Yes, show wetlands and waters on the site map and classification. Describe the proposal's potential impact to on-site and adjacent wetlands and waters and attach any coordination with the State and US Army Corps of Engineers.

There will be minimal temporary impact to wetland in the form of temporary fill for a crane pad. All fill will be removed at the conclusion of the project and wetland will be restored per LSCSMC regulations.

M. Floodplain Impacts: *Is the proposal located within the 100-year floodplain or are regulated floodways affected?*

☒ No (continue) ☐ Yes, describe the potential for impacts due to changes in floodplain capacity or water flow, if any. If impacts are likely, attach scale maps describing potential impacts and describe any coordination with regulatory entities.

The bridges are located within a 100 year floodplane, however no impact will result as the bridge openings have sized to provide hydraulic capacity equal or greater than existing conditions.

N. Water Quality: *Are protected waters of special quality or concern, essential fish habitats, or protected drinking water resources present at or directly adjacent to the proposal site?*

☒ No (continue) ☐ Yes, describe water resource and the potential for impact from the proposal, and any coordination with regulatory entities.

O. Navigable Waterways: *Does the proposal cross or have effect on a navigable waterway?*

☒ No (continue) ☐ Yes, describe potential for impact and any coordination with US Coast Guard.

P. Coastal Zones: *Is the proposal in a designated coastal zone?*

☒ No (continue) ☐ Yes, describe coordination with the State regarding consistency with the coastal zone management plan and attach the State finding if available.

Q. Prime and Unique Farmlands: *Does the proposal involve the use of any prime or unique farmlands?*

☒ No (continue) ☐ Yes, describe potential for impact and any coordination with the Soil Conservation Service of the US Department of Agriculture.

R. Ecologically Sensitive Areas And Endangered Species: *Are any ecologically sensitive natural areas, designated wildlife or waterfowl refuges, or designated critical habitat areas (woodlands, prairies, wetlands, rivers, lakes, streams, and geological formations determined to be essential for the survival of a threatened or endangered species) within or directly adjacent to the proposal site?*

☒ No (continue) ☐ Yes, describe them and the potential for impact. Describe any consultation with the State and the US Fish and Wildlife Service about the impacts to these natural areas and on threatened and endangered fauna and flora that may be affected. If required prepare a biological assessment and attach.

S. Safety And Security: *Are there safety or security concerns about the proposal?*

☒ No (continue) ☐ Yes, describe the safety or security concerns and the measures that would need to be taken to provide for the safe and secure operation of the proposal after its construction.

T. Construction Impacts: *Are major construction period impacts likely?*

☒ No (continue) ☐ Yes, describe the construction plan and identify impacts due to construction noise, utility disruption, debris and spoil disposal, and address air and water quality impacts, safety and security issues, and disruptions of traffic and access to property and attach scale maps as necessary.

U. Cumulative Impacts: *Are cumulative impacts likely?*

A "cumulative impact" is the impact on the environment that results from the incremental impact of the action when added to other past, present, and reasonably foreseeable future actions regardless of what agency (Federal or non-Federal) or person undertakes such other actions. Cumulative impacts may include ecological (such as the effects on natural resources and on the components, structures, and functioning of affected ecosystems), aesthetic, historic, cultural, economic, social, or health, whether direct, indirect, or resulting from smaller actions that individually have no significant impact. Determining the cumulative environmental consequences of an action requires delineating the cause-and-effect relationships between the multiple actions and the resources, ecosystems, and human communities of concern.

☒ No (continue) ☐ Yes, describe the reasonably foreseeable:
(a) Direct impacts, which are caused by the action and occur at the same time and place.

(b) Indirect impacts, which are caused by the action and are later in time or farther removed in distance, but are still reasonably foreseeable. Indirect impacts may include growth inducing effects and other effects related to induced changes in the pattern of land use, population density or growth rate, and related effects on air and water and other natural systems, including ecosystems.

V. Related Federal, State, or Local Actions: *Indicate whether the proposal requires any of the following actions (e.g., permits) by other Agencies and attach copies of relevant correspondence. It is not necessary to attach voluminous permit applications if a single cover Agency transmittal will indicate that a permit has been granted. Permitting issues can be described in the relevant resource discussion in sections B-S above.*

☐ **Section 106** *Historic and Culturally Significant Properties*

☐ **Section 401/404** *Wetlands and Water*

☐ **USCG 404** *Navigable Waterways*

☐ **Executive Orders** *Wetlands, Floodplains, Environmental Justice*

☐ **Clean Air Act** *Air Quality*

☐ **Endangered Species Act** *Threatened and Endangered Biological Resources*

☐ **Magnuson-Stevens Fishery Conservation and Management Act** *Essential Fish Habitat*

☐ **Safe Drinking Water Act**

☒ **Other State or Local Requirements** (Describe) The railway has liased and will continue to liase with Lake County Stormwater Management Commission (LCSMC) to ensure no permanent impact to the natural environment due to construction of the two bridges. The bridge opening is sufficeint to meet US Army Corps of Engineers as well as state and local regulatory requirements for hydraulic capacity.

X. Mitigation: Describe mitigation measures which address identified impacts and have been incorporated into the proposal, if any.

The replacement structure is being designed as bridges rather than as a culverts because doing so will provide clearance for waterflow spreading out from the adjacent Des Plaines River in a flood event. This river runs adjacent to the bridges, not under the bridges. Habitat impact will be minimal, strickly localized to the immediate site, and cooprinated with the Lake County Stormwater Management Commission as to timing of the work and need for restoration, if any. The project work plan will be carefully planned to address this.

Upload #6

Applicant:	IL Dept of Transportation
Application Number:	HSR2010000139
Project Title	High-Speed Intercity Passenger Rail (HSIPR) Program: Track 1a - Projects (Final Design/Construction)CP Wadsworth,IL Bridge HSR Bridge Replacement
Status:	Submitted
Document Title:	CP Wadsworth Brdg Stakeholder Agmt

AGREEMENT FOR REPLACEMENT OF
bridge spans and abutments of two railway bridges
at MP 46.78 and 47.27 C&M Subdivision
with reinforced concrete ballasted deck
in Lake County, Illinois

PROJECT I.D. _____

This Agreement, by and between the State of Illinois, Department of Transportation, hereinafter referred to as the "STATE" and Soo Line Railroad Company, hereinafter referred to as the "COMPANY", provides for the performance of work described herein by the COMPANY on the above named project.

WITNESSETH

WHEREAS, the STATE desires to add reliability for additional passenger rail service frequencies on the line owned by COMPANY between Milwaukee, Wisconsin and Chicago, Illinois; and

WHEREAS, The COMPANY has identified completion of this project as one of several projects that are necessary prior to the implementation of additional passenger rail frequencies on this line; and

WHEREAS, the STATE has received funding from the Federal Railroad Administration to replace two railroad bridges on the COMPANY's line at approximately Milepost 46.78 and Milepost 47.27 of the C&M Subdivision and

WHEREAS, the STATE desires to finance the track construction with federal aid funds as provided under Section **x.x**, Illinois Statutes; and deems it more feasible and advantageous to have such work performed by the COMPANY directly and without bids pursuant to Section **x.x**, Illinois Statutes.

NOW, THEREFORE, in consideration of the premises and of their mutual and dependent agreements hereinafter set forth, the parties hereto hereby agree as follows:

1. STANDARD PROVISIONS. The work described below shall be performed in accordance with the provisions contained herein and the "Standard Provisions" of the State of Illinois, dated _____, Exhibit "A", attached hereto and made a part of this Agreement, except for Item 7.
2. WORK TO BE PERFORMED BY THE COMPANY. (a) (i) Along the COMPANY's

C&M Subdivision Mainline at approximately Milepost 46.78 in Lake County, Illinois to replace an existing bridge with a new reinforced concrete ballasted deck bridge and new abutments; (ii) at Milepost 47.27 in Lake County, Illinois, replace a 125-foot bridge with a new reinforced concrete ballasted deck bridge and new abutments

(b) Such work is further described in the agreement summary, Exhibit "B", detailed estimates, Exhibit "C", locations shown in Exhibit "D" and the benefits of the project, Exhibit "E", which are attached hereto and made a part hereof. The Agreement cost of such work based on the detailed estimate is (\$ 8,021,420.00 US).

(c) The parties acknowledge that the work under this agreement will be phased so as to match the availability of funds from the FRA. At this time, STATE has indicated it will submit an application to the FRA, for a total of eight million, twenty one thousand, four hundred and twenty dollars (\$8,021,420.00 US) to pay for the work contemplated. The work cannot begin until the funding from the FRA is obligated. Any and all costs in excess of the estimate will be borne solely by the COMPANY.

3. DESIGN. (a) The installation of all new track structures and modification of any signal components shall be in accordance with the COMPANY's Standards. (b) Work performed at highway-rail grade crossings, if any, shall be in reasonable conformance with the State's "Guideline for the Lateral Placement of Railroad Signs and Signals" as provided in its Facilities Development Manual and Part VIII - Traffic Control Systems for Railroad-Highway Grade Crossings of the Manual on Uniform Traffic Control Devices for Streets and Highways published by the U.S. Department of Transportation, Federal Highway Administration, to the extent practical and feasible.

Auxiliary, installation of new signs, if any, shall be reflectorized.

4. CONSTRUCTION. (a) The COMPANY with its own forces will make these signal and track structures modifications together with the necessary connections to tracks, line circuits and power supply, in accordance with the plans and specifications therefore and the standard and accepted practices for such work.

All work under this Agreement, as set forth herein and in the exhibits and attachments hereto and made a part hereof, shall be performed under normal COMPANY practices and the applicable requirements of the United States Department of Transportation, as set forth in 23 CFR Part 646 Subpart B.

5. OPERATION AND MAINTENANCE.

(a) Upon completion of the installation of the two bridges and their acceptance by the STATE, the COMPANY will operate and maintain them under the rules and regulations of the Federal Railroad Administration.

(b) The COMPANY acknowledges the proposed improvements are being accomplished to improve the reliability of passenger rail service and to lead to the implementation of additional frequencies of passenger rail service in the future and also toward the implementation of future higher-speed passenger rail service.

6. **APPORTIONMENT OF COSTS.** The STATE agrees to reimburse the COMPANY the amount of eight million, twenty one thousand, four hundred and twenty dollars (\$8,021,420.00 US) for the completion of the work identified in Exhibit C. Any and all costs in excess of the estimate will be borne solely by the COMPANY. Progress payments will be considered by the parties as a means to achieve this result.

The execution of this Agreement by the STATE shall not relieve the COMPANY from compliance with the applicable Federal and State laws, Illinois Administrative Codes, and local laws or ordinances which may affect the performance of the work covered herein, and shall not be construed to supersede any other governmental agency requirements for plan approval or authority to undertake the work.

7. **INVOICE AND BILLS.** The COMPANY will submit all invoices and bills for reimbursement, to the Illinois Department of Transportation, Bureau of Railroads, ### xxxxx Avenue, Chicago, Illinois xxxxx-xxxx. The State Project I.D. number will be included on all invoices and bills. The Final Bill is to be submitted within one year of the STATE's acceptance of the COMPANY's work in accordance with Federal Law. If the Final Bill is not received by that date, the last detailed progressive bill will be considered to be the Final Bill.

IN WITNESS WHEREOF, the parties hereto have caused this Agreement to be executed by their proper officers and representatives on the day and the year below written.

SOO LINE RAILROAD COMPANY

By _____
Signature Date

Title

**STATE OF ILLINOIS
DEPARTMENT OF TRANSPORTATION**

By _____
Contract Manager Date

APPROVED:

Governor of Illinois Date

Exhibit A

State of Illinois/Department of Transportation

~~Note: This example is adopted from the Wisconsin Department of Transportation. Illinois may have its own similar version of this to offer.~~

STANDARD GENERAL PROVISIONS for HIGHWAY-RAILROAD AGREEMENTS BETWEEN THE STATE AND THE COMPANY

1. Specifications and Special Provisions. The standard specifications, including supplemental specifications and the project special provisions of the STATE shall apply to work performed by the contractor of the STATE
2. COMPANY to Furnish Labor and Materials. The COMPANY or its contractors will furnish all labor, materials, equipment, tools and incidentals necessary to complete the work described in the Agreement and will perform such work in accordance with generally accepted highway and railroad standards and practices and the provisions of the Agreement. All furnished materials shall be in accordance with 23 CFR 635.410 Buy America requirement.
3. Materials recovered. Materials recovered from temporary use by the COMPANY and materials recovered due to substitution or replacement of the existing railroad facilities that are included as a part of the Agreement, shall be credited to the project in accordance with 23 CFR 140.908, Materials and Supplies.
4. Coordination of Work. The COMPANY will cooperate with and coordinate its work with that of the STATE or its contractors to the extent practicable and feasible for the completion of the project.
5. Performance of Work. In connection with the performance of the work, the COMPANY will comply with sections 16.528 and 16.754, Wis. Stats.
6. Traffic Control. Unless traffic control devices will be provided and installed by the STATE, the COMPANY shall install traffic control devices and implement methods to adequately protect the traveling public at all times. The COMPANY shall conduct the Agreement work and subsequent maintenance work at grade crossings in accordance with Section 86.135 of the Wisconsin Statutes. Such traffic control devices and methods and their installation or implementation shall conform to Part 6 of the Manual on Uniform Traffic Control Devices (MUTCD) published by the Federal Highway Administration and adopted by the Wisconsin Department of Transportation along with the Wisconsin Supplement to the MUTCD.

7. Authorization and Approval of Work. The work and COMPANY operations provided herein shall be subject to and meet the approval of the Administrator for the STATE or his authorized representative. Work shall not start until the COMPANY has received written notice from the STATE to proceed with the work. The COMPANY shall notify the Transportation Region Office for that area of the State in which the work is located when it will begin its operations and shall give similar notification when operations are resumed, subsequent to suspension of operations.

Any significant change in the extent or scope of the work under the Agreement, including incidental work exceeding 25% of the original estimate for force work labor or the total cost of the work, shall be covered by a written contract change order. It is expressly understood and agreed that any work done by the COMPANY under the Agreement, prior to authorization by the STATE, shall be excluded from payment under the terms of the Agreement.

The COMPANY may subcontract all or portions of the work included under the Agreement provided a market based competitive procurement process is used. Subcontracting of more than 50% of the labor must have prior approval of the STATE. An existing continuing contract under which the COMPANY has the same kind of work regularly performed at its own cost will be considered to conform to the requirements of this section provided that costs to the STATE are reasonable and the contract has the prior written approval of the STATE.

8. Nondiscrimination. In connection with the performance of work under the Agreement, the COMPANY agrees not to discriminate against any employee or applicant for employment because of age, race, religion, color, handicap, sex, physical condition, development disability as defined in Section x.x Illinois Statutes, sexual orientation as defined in Section x.x Illinois Statutes, or national origin. This provision shall include, but not be limited to, the following: employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or termination, rates of pay or other forms of compensation; and selection for training, including apprenticeship. Except for sexual orientation, the COMPANY further agrees to take affirmative action to ensure equal employment opportunities.

The COMPANY shall post in conspicuous places, available to employees and applicants for employment, notices to be provided by the contracting officer for the STATE setting forth the provisions of the nondiscrimination clause.

9. Reimbursement, Records and Audit. Reimbursement to the COMPANY for work performed by COMPANY forces under the described project shall be subject to the provisions of 23 CFR, Part 140, Subpart I, Reimbursement for Railroad Work. Overhead and indirect construction costs will not be reimbursed. Any costs incurred or charges made by the COMPANY not in compliance with the above shall be at the

sole cost and expense of the COMPANY.

The COMPANY will submit a calculation of indirect cost rates applied in the contract within 180 days of the end of its fiscal year.

Reimbursement for work performed by a contractor hired by the COMPANY to perform work under an agreement between the STATE and the COMPANY shall be subject to the terms of such agreement between the STATE and the COMPANY. Subcontracted work that does not comply with the provisions of Section 7 of these Standard General Provisions will not be reimbursed.

The STATE will reimburse the COMPANY for the STATE's share of the cost of the work on the basis of invoices (an original and two copies) sent to the STATE's Transportation Region Office, not more often than once a month during the progress of work for the partial payment on account of the work completed to date. Such invoices shall represent the value to the STATE of the partially completed work. Payment will be made promptly in an amount as has been found to reasonably represent the value of the partially completed work, less any amounts previously paid on account. An item which is not properly submitted or which appears questionable may be excluded from progress payments.

Estimated unit prices of construction items used for the purpose of determining the total cost of work under the Agreement upon which partial payments are to be based shall not be binding upon either party hereto for determining the actual ultimate gross amount due to the COMPANY under the Agreement.

An original and two copies of the complete and final invoice, including invoices from subcontractors, shall be submitted, to the STATE's Transportation Region Office.

The COMPANY agrees and will require its subcontractors to agree to maintain all books, documents, papers, accounting records, and other evidence pertaining to costs incurred under the terms of the Agreement and to make such materials available at their respective offices at all reasonable times during the contract period and for a period of three years from the date final payment was received by the COMPANY for inspection and audit by the STATE, and/or Federal government. Copies of such records shall be furnished if requested.

10. STATE's Contractor to Provide Third-party Railroad Protective Insurance. The STATE will require its contractors to provide for and in behalf of the COMPANY insurance protection to cover liability imposed by law upon the COMPANY for damages because of bodily injury to or death of persons and injury to or destruction of property resulting from the operations or presence of the contractor, subcontractor, their employees or COMPANY employees on the project; such railroad protective insurance shall be written and shall be in accordance with the requirements of 23

CFR, Part 646, Subpart A - Railroad-Highway Insurance Protection. A copy of each policy so required shall be furnished to the COMPANY.

The minimum limits of coverage to be provided are two million dollars (\$2,000,000) per occurrence for Coverage A (Bodily Injury Liability and Property Damage Liability) and Coverage B (Physical Damage to Property Liability), and shall include an annual aggregate amount of six million dollars (\$6,000,000). Such aggregate amount shall apply separately to each renewal or extension. This coverage is required for the duration of the project.

11. Flagging for Work Affecting Railroad Property. The STATE will require its contractor and subcontractors to contact the railroad for flagging protection as may be required for work on COMPANY property when their operations are likely to occur within 25-feet of the track centerline (unless arrangements are made for a track clearance fence to be installed no closer than 12-feet from the track centerline, in which case flagging will be required when operations occur between the fence and track), and in accordance with Section 107.17 of the STATE 's standard specifications for highway and structure construction or supplements thereto.
12. Miscellaneous. The Agreement between the parties shall not be deemed to create a partnership between the parties and no party shall have the authority to obligate the other.

The Agreement shall be governed under the laws of the State of Wisconsin. The parties shall at all times comply with and observe all federal and state laws, local laws, ordinances and regulations which are in effect during the period of the work and which affect the work.

No right or duty in whole or in part of the Agreement may be assigned or delegated by the COMPANY without prior written consent of the STATE.

The STATE reserves the right to terminate the work by the COMPANY in whole or in part without penalty due to non appropriation of funds or for failure of the COMPANY to comply with the terms, specifications, and conditions of the Agreement.

The provisions of the Agreement are severable. The unenforceability of any provision shall not affect the enforceability of the remainder of the Agreement.

to the Secretary, Illinois Department of Transportation, Chicago, IL #####.

No other correspondence, document, acceptance or acknowledgment shall be effective or binding between the parties unless expressly agreed to by each party in writing.

Exhibit B
Agreement Summary

Replacement of abutments and bridge spans with reinforced concrete ballasted deck for two bridges at MP 46.78 and 47.27 C&M Subdivision in Lake County, Illinois to eliminate impending speed restriction and prepare bridges for future higher speed passenger rail.

Exhibit C
Cost Estimate and Allocation

Cost Categories		Subtotal
1-Administrative and legal expense		\$
2-Land, structures, rights-of-ways, and appraisals		\$
3-Relocation expenses and payments		\$
4-Architectural and engineering fees		\$
5-Project inspection fees		\$
6-Site work		\$
7-Demolition and removal		\$
8-Construction labor		\$
9-Materials		\$
10-Equipment		\$
11-Misc. (purchase of contract services, other etc.)		\$
12-Contingencies		\$
Total Cost:		\$ 8,021,420.00
Funding Sources		
CP lump sum contribution:		\$ 0
FRA lump sum contribution:		\$ 8,021,420.00
Total Contribution:		\$ 8,021,420.00

¹ All costs in excess of this will be borne by the COMPANY.

Exhibit D Project Location



August 13 2009 -
CPWadsworth ...

Exhibit E

Project Benefits

a. Safety

The proposed project is consistent with CP's goal to be the safest railway in North America. The new bridge structures will incorporate modern engineering design standards for load and safety. It will also include elements consistent with Canadian Pacific's Standard Practice policies which address safety for track and signal maintenance and other railway workers.

b. Reliability

The full replacement of the two bridges provides long term reliability for the corridor between Milwaukee and Chicago. The project avoids an impending speed restriction at the bridges that would adversely affect passenger train schedules and is one of many required improvements to be completed before additional passenger services can operate on this route.

c. On-time performance (OTP)

The proposed project will assist Amtrak services to maintain their top-of-class 90% on-time performance (OTP) on the Hiawatha and above average 80% OTP on the Empire Builder. Canadian Pacific is governed by its contract (SOO-143 dated June 1, 2004) with the National Railroad Passenger Corporation (Amtrak) to provide an on-time performance minimum standard. An on-time performance below this standard requires CP to subtract from earned Amtrak incentive payments as a penalty..

d. Future operation of Higher-speed intercity passenger rail service

The work performed under this project is one component of the work identified by CP as necessary for implementation of additional frequencies between Milwaukee and Chicago and is consistent with requirements for future operation of higher-speed intercity passenger rail service between Chicago, Illinois and points in Wisconsin including Milwaukee and Watertown, Wisconsin.

Upload #7

Applicant:	IL Dept of Transportation
Application Number:	HSR2010000139
Project Title	High-Speed Intercity Passenger Rail (HSIPR) Program: Track 1a - Projects (Final Design/Construction)CP Wadsworth,IL Bridge HSR Bridge Replacement
Status:	Submitted
Document Title:	CP Wadsworth Brdg SF 424C

BUDGET INFORMATION - Construction Programs

NOTE: Certain Federal assistance programs require additional computations to arrive at the Federal share of project costs eligible for participation. If such is the case, you will be notified.

COST CLASSIFICATION	a. Total Cost	b. Costs Not Allowable for Participation	c. Total Allowable Costs (Columns a-b)
1. Administrative and legal expenses	\$.00	\$.00	\$ 0.00
2. Land, structures, rights-of-way, appraisals, etc.	\$.00	\$.00	\$ 0.00
3. Relocation expenses and payments	\$.00	\$.00	\$ 0.00
4. Architectural and engineering fees	\$.00	\$.00	\$ 0.00
5. Other architectural and engineering fees	\$.00	\$.00	\$ 0.00
6. Project inspection fees	\$.00	\$.00	\$ 0.00
7. Site work	\$.00	\$.00	\$ 0.00
8. Demolition and removal	\$.00	\$.00	\$ 0.00
9. Construction	\$ 7,220,000.00	\$.00	\$ 7,220,000.00
10. Equipment	\$.00	\$.00	\$ 0.00
11. Miscellaneous	\$.00	\$.00	\$ 0.00
12. SUBTOTAL (sum of lines 1-11)	\$ 7,220,000.00	\$ 0.00	\$ 7,220,000.00
13. Contingencies	\$ 722,000.00	\$.00	\$ 722,000.00
14. SUBTOTAL	\$ 7,942,000.00	\$ 0.00	\$ 7,942,000.00
15. Project (program) income	\$.00	\$.00	\$ 0.00
16. TOTAL PROJECT COSTS (subtract #15 from #14)	\$ 7,942,000.00	\$ 0.00	\$ 7,942,000.00
FEDERAL FUNDING			
17. Federal assistance requested, calculate as follows: (Consult Federal agency for Federal percentage share.) Enter the resulting Federal share.	Enter eligible costs from line 16c Multiply X <u>100.00</u> %		\$ 7,942,000.00

INSTRUCTIONS FOR THE SF-424C

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0041), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This sheet is to be used for the following types of applications: (1) "New" (means a new [previously unfunded] assistance award); (2) "Continuation" (means funding in a succeeding budget period which stemmed from a prior agreement to fund); and (3) "Revised" (means any changes in the Federal Government's financial obligations or contingent liability from an existing obligation). If there is no change in the award amount, there is no need to complete this form. Certain Federal agencies may require only an explanatory letter to effect minor (no cost) changes. If you have questions, please contact the Federal agency.

Column a. - If this is an application for a "New" project, enter the total estimated cost of each of the items listed on lines 1 through 16 (as applicable) under "COST CLASSIFICATION."

If this application entails a change to an existing award, enter the eligible amounts *approved under the previous award* for the items under "COST CLASSIFICATION."

Column b. - If this is an application for a "New" project, enter that portion of the cost of each item in Column a. which is *not* allowable for Federal assistance. Contact the Federal agency for assistance in determining the allowability of specific costs.

If this application entails a change to an existing award, enter the adjustment [+ or (-)] to the previously approved costs (from column a.) reflected in this application.

Column. - This is the net of lines 1 through 16 in columns "a." and "b."

Line 1 - Enter estimated amounts needed to cover administrative expenses. Do not include costs which are related to the normal functions of government. Allowable legal costs are generally only those associated with the purchases of land which is allowable for Federal participation and certain services in support of construction of the project.

Line 2 - Enter estimated site and right(s)-of-way acquisition costs (this includes purchase, lease, and/or easements).

Line 3 - Enter estimated costs related to relocation advisory assistance, replacement housing, relocation payments to displaced persons and businesses, etc.

Line 4 - Enter estimated basic engineering fees related to construction (this includes start-up services and preparation of project performance work plan).

Line 5 - Enter estimated engineering costs, such as surveys, tests, soil borings, etc.

Line 6 - Enter estimated engineering inspection costs.

Line 7 - Enter estimated costs of site preparation and restoration which are not included in the basic construction contract.

Line 9 - Enter estimated cost of the construction contract.

Line 10 - Enter estimated cost of office, shop, laboratory, safety equipment, etc. to be used at the facility, if such costs are not included in the construction contract.

Line 11 - Enter estimated miscellaneous costs.

Line 12 - Total of items 1 through 11.

Line 13 - Enter estimated contingency costs. (Consult the Federal agency for the percentage of the estimated construction cost to use.)

Line 14 - Enter the total of lines 12 and 13.

Line 15 - Enter estimated program income to be earned during the grant period, e.g., salvaged materials, etc.

Line 16 - Subtract line 15 from line 14.

Line 17 - This block is for the computation of the Federal share. Multiply the total allowable project costs from line 16, column "c." by the Federal percentage share (this may be up to 100 percent; consult Federal agency for Federal percentage share) and enter the product on line 17.

Upload #8

Applicant:	IL Dept of Transportation
Application Number:	HSR2010000139
Project Title	High-Speed Intercity Passenger Rail (HSIPR) Program: Track 1a - Projects (Final Design/Construction)CP Wadsworth,IL Bridge HSR Bridge Replacement
Status:	Submitted
Document Title:	CP Wadsworth Brdg SF 424D

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL RAILROAD ADMINISTRATION

ASSURANCES AND CERTIFICATIONS

APPENDIX C

TABLE OF CONTENTS

1. INCORPORATION OF ASSURANCES AND CERTIFICATIONS
 - a. Document Source.
 - b. False or Fraudulent Statements or Claims.
 - c. Incorporations of Assurances and Certifications.
2. ASSURANCES AND CERTIFICATIONS
 - a. Certification Regarding Debarment, suspension, and other Responsibility Matters--Primary Covered Transactions
 - b. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions
 - c. Certification Regarding Drug-Free Workplace Requirements
 - d. Certification Regarding Lobbying
 - e. Assurances -- Non-Construction Programs, Standard Form 424E (4/92)
 - f. Certificate of Indirect Costs

1. INCORPORATION OF ASSURANCES AND CERTIFICATIONS
 - a. Document Source.

These assurances and certifications are submitted by the applicant as part of the project application for federal assistance.

- b. False or Fraudulent Statements or Claims.

The Grantee acknowledges that if it makes or has made a false, fictitious, or fraudulent claim, statement, submission, or certification to the Government in connection with this project, the Government reserves the right to impose on the Grantee the penalties of 18 U.S.C. § 1001, 31 U.S.C. § 3801 et seq., and 49 U.S.C. app. § 1607a(h), as the Government may deem appropriate. The terms of U.S. DOT regulations, "Program Fraud Civil Remedies," 49 C.F.R. Part 31, apply to this project.

- c. Incorporations of Assurances and Certifications.

Upon acceptance of the grant offer by the Grantor (FRA), these certification and assurances are incorporated in and become part of the Grant Agreement.

2. - ASSURANCES AND CERTIFICATIONS

The Grantee hereby assures and certifies, with respect to the Grant Agreement, that it will comply with all applicable Federal laws, regulations, executive orders, policies, guidelines and requirements as they relate to the application, acceptance, and use of Federal funds for this project including, but not limited to the following:

a. Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms covered transaction, debarred, suspended, ineligible, lower-tier covered transaction, participant, person, primary covered, transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a ~~certification of a prospective participant in a lower tier covered~~ transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

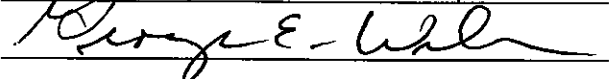
**Certification Regarding Debarment, Suspension, and Other
Responsibility Matters--Primary Covered Transactions**

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Grantee Organization:

Illinois Department of Transportation

Signature of



Authorized Official: (Date:)

August 24, 2009

Print Name:

George E. Weber

- b. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," without modification, in all lower tier covered transactions arising in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

**Certification Regarding Debarment, Suspension, Ineligibility
and Voluntary Exclusion-Lower Tier Covered Transactions**

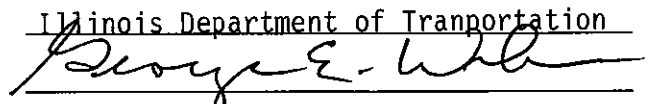
(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Grantee Organization:

Illinois Department of Transportation

Signature of



Authorized Official: (Date:)

August 24, 2009

Print Name:

George E. Weber

c. Certification Regarding Drug-Free Workplace Requirements

Instructions for Certification

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.

2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

3. For grantees other than individuals, Alternate I applies.

4. For grantees who are individuals, Alternate II applies.

5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, - or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).

7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).

8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. ~~This definition does not include~~ workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

A. The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about--

- (1) The dangers of drug abuse in the workplace;
- (2) The grantee's policy of maintaining a drug-free workplace;
- (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will

- (1) Abide by the terms of the statement; and
- (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d) (2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d) (2), with respect to any employee who is so convicted--

- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
- (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

~~B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:~~

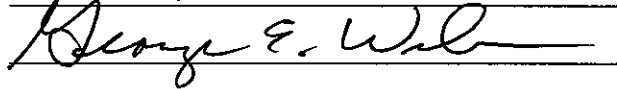
Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

Grantee Organization:

ILLINOIS Department of Transportation

Signature of



Authorized Official: (Date:)

August 24, 2009

Print Name:

George E. Weber

Alternate II. (Grantees Who Are Individuals)

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

Grantee Organization:

Signature of

Authorized Official: (Date:)

Print Name:

d. Certification Regarding Lobbying

Certification for Contracts, Grants, Loans and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

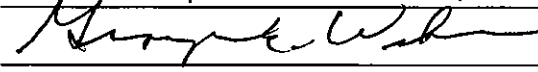
- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the Federal loan, the entering into of any cooperative agreement, and continuation, renewal, amendment, or modification of any Federal making of any the extension, contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Grantee Organization:

Illinois Department of Transportation

Signature of Authorized Official: (DATE:)

 8-24-09

Print Name:

George E. Weber

Title:

Bureau Chief

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

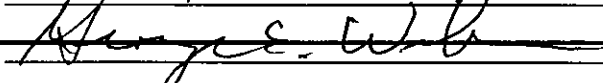
If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Grantee Organization:

Illinois Department of Transportation

Signature of Authorized Official: (DATE:)



Print Name:

George E. Weber

Title:

Bureau Chief

Page 13 of 14

e.

CERTIFICATE OF INDIRECT COSTS

I have reviewed the indirect cost proposal date. This is to certify that:

1. All costs included in the proposal(s) submitted on to establish provisional, final or fixed indirect costs rates, or cost allocation plans, for the period , through are allowable in accordance with the requirements of grants/contracts to which they apply and with the Federal cost principles; i.e. (Please check the applicable cost principles)

- ☒ OMB Circular A-87, Cost Principles for State, Local and Federally-recognized Indian Tribal Governments
- ☐ OMB Circular A-122, Cost Principles for Nonprofit Organizations
- ☐ Federal Acquisition Regulation (FAR), Subpart 31.2, Cost Principles for Commercial Organizations
- ☐ OMB Circular A-21, Cost Principles for Educational Institutions

2. This proposal does not include any costs, which are unallowable under the applicable Federal cost principles. For example, advertising, contributions and donations, bad debts, entertainment costs, fines and penalties, general government expenses, and defense of fraud proceedings;

3. The requirements and standards on Lobbying Costs for nonprofit (A-122) and commercial (FAR) organizations have been complied with for the fiscal year ended , and

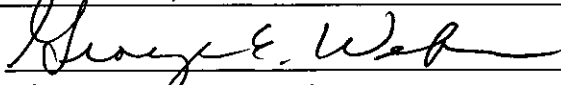
4. All costs included in this proposal are properly allocable to Department of Labor grants /contracts on the basis of a beneficial or causal relationship between the expenses incurred and the grants/contracts to which they are allocated in accordance with the applicable Federal cost principles.

Subject to the provisions of the Program Fraud Civil Remedies Act of 1986, (31 USC 3801 et seq.), and the Department of Labor's implementing regulations, (29 CFR Part 22), the False Claims Act (18 USC 287 and 31 USC 3729); and the False Statement Act (18 USC 1001), I declare to the best of my knowledge that the foregoing is true and correct.

Grantee / Contractor:

Illinois Department of Transportation

Signature



Name of Authorized Official: (DATE:)

GEORGE E. WEBER

Title:

Bureau Chief

Date:

August 24, 2009

GRANTEE FILL-IN INFORMATION

Section 109.

Payment Method.

Payment of FRA funding through FRA's Office of Financial Services, shall be made in accordance with the provisions in Attachment 2, if attached and applicable, "Receipt Organization Procedures for Requesting Advance Payment": and the following (as checked):

- ☐ FRA has determined that in accordance with 49 C.F.R. Part 18 or 49 C.F.R. Part 19, as applicable, the Grantee is willing and able to minimize the elapsing time between the transfer of Federal funds and Grantee disbursement, and has an adequate financial management system to implement those procedures to accomplish this, and is therefore to be paid in advance.

The Grantee hereby selects the following method for transfer of advance funds (select one):

- ☐ Automated Clearing House (ACH) Vendor Payment.
Grantee submits SF 1194, SF 3881, and SF 5805 (formerly TFS 5805) in accordance with Attachment 2, if attached.
- ☐ Treasury Check.
Grantee submits SF 1194, SF 5808 (formerly TFS 5805) and SF 3881 (excluding financial institution information) in accordance with Article II. Treasury checks are to be sent to the following address:

- ☒ Either the Grantee has elected to be paid by method of reimbursement, or FRA has determined that in accordance with 49 C.F.R. Part 18 or 49 C.F.R. Part 19 as applicable, the Grantee is not eligible to be paid in advance, and is therefore to be reimbursed, after the submission of proper invoices, for actual expenses incurred.

The Grantee hereby selects the following method for transfer of reimbursed funds (select one):

- ☒ Automated Clearing House (ACH) Vendor Payment.
Grantee submits SF 1194, SF 3881, and SF 270 in accordance with Article II.
- ☐ Treasury Check:
Grantee submits SF 1194, SF 270 and SF 3881 (excluding financial institution information) in accordance with Article II. Treasury checks are to be sent to the following address:

Upload #9

Applicant:	IL Dept of Transportation
Application Number:	HSR2010000139
Project Title	High-Speed Intercity Passenger Rail (HSIPR) Program: Track 1a - Projects (Final Design/Construction)CP Wadsworth,IL Bridge HSR Bridge Replacement
Status:	Submitted
Document Title:	CP Wadsworth Brdge FRA Assurncs

**U.S. Department of Transportation
Federal Railroad Administration**

**Certifications Regarding Debarment, Suspension and Other Responsibility Matters,
Drug-Free Workplace Requirements and Lobbying**

**PART A: Certification Regarding Debarment, Suspension and Other Responsibility Matters – Primary Covered Transactions
(Pursuant to 2 CFR Part 180)**

- (1) The grantee certifies to the best of its knowledge and belief, that it and its principles:
 - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
 - (b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
 - (d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the grantee is unable to certify to any of the statements of this certification, he or she shall attach an explanation to this application.

PART B: Certification Regarding Drug-Free Workplace Requirements (Pursuant to 49 CFR Part 32)

- A. The grantee certifies that it will or continue to provide a drug-free workplace by:
- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - (b) Establishing an ongoing drug-free awareness program to inform employees about—
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee is so convicted—
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (e) and (f).

B. The grantee may insert in the space below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

PART C: Certification Regarding Lobbying (Pursuant to 49 CFR Part 20)

CHECK ☐ IF APPLICABLE
 CERTIFICATION IS FOR THE AWARD OF A GRANT OR COOPERATIVE AGREEMENT EXCEEDING
 \$100,000
 OR
 A FEDERAL LOAN EXCEEDING \$150,000

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award document for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 USC 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

As the authorized certifying official, I hereby certify that the certifications in Parts A, B, and C (if C is applicable) are true.



SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

George Weber - Bureau Chief

TYPED NAME AND TITLE

08/21/2009

DATE